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# TECHNICAL REPORT

## Understanding Country Planning

### A Guide for Air Force Component Planners

Heather Peterson, Joe Hogler

Prepared for the United States Air Force

Approved for public release; distribution unlimited



PROJECT AIR FORCE

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## Preface

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The U.S. Department of Defense (DoD) has placed a renewed emphasis on campaign and country planning for peacetime engagement with foreign militaries, an approach commonly known as security cooperation. However, existing guidance on country planning for security cooperation is fragmented and incomplete. This report is designed to help U.S. Air Force planners understand existing country planning processes and the key elements of country plans. It is based on a review of country planning at the regional Air Force component and combatant command levels.

This study was sponsored by the Director of Operational Planning, Policy, and Strategy, Headquarters U.S. Air Force (AF/A5X). While this report was written primarily for the U.S. Air Force and U.S. Air Force components, much of the information presented here will also be useful to planners in the combatant commands and will be of interest to the wider DoD planning community.

The study was conducted within RAND Project AIR FORCE's Strategy and Doctrine Program as part of a fiscal year 2010 study, "Support to the Air Force Campaign Support Plan and AF/A5X International Programs."

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## Summary

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The purpose of this report is to provide U.S. Air Force planners with an overview of country planning processes and the key elements of country plans. The U.S. Department of Defense (DoD) has placed a renewed emphasis on planning for security cooperation with foreign militaries, but it has yet to develop comprehensive guidance on how to conduct this type of planning. As a result, the combatant commands (COCOMs) and their Air Force components have had to develop country plans with little guidance as to what these plans should look like and what purpose they should serve.

This report is, in many ways, a collection of best practices. It is based on multiple discussions with Air Force component and COCOM planners and a thorough review of their country plans and planning processes.<sup>1</sup> The RAND study team found that there was no single approach to country planning in DoD. The Air Force component and COCOM planners with whom the study team spoke were all attempting to develop country plans that linked guidance to resources—with varying degrees of success. From these discussions, the study team developed the country planning cycle depicted in Figure S.1 and the key elements of a country plan depicted in Figure S.2.

The country planning cycle is a simple way of thinking about a number of complicated processes. It has five main parts: guidance, development of the country plan, resourcing, execution, and assessment. This report addresses each part of the planning cycle in detail: Chapter Two describes the role of guidance and the development of the country plan; Chapter Three discusses resourcing and execution; and Chapter Four describes the assessment process.

Guidance is both the beginning and the end of the country planning cycle. Air Force component planners can influence the guidance they are given by assessing previous country planning efforts. While there are many sources of guidance, the COCOM campaign and country plans and the U.S. Department of State's Mission Strategic Resource Plan are the most important to the development of an Air Force country plan. In fact, the Air Force country plan is essentially that service's slice of the COCOM country plan.<sup>2</sup> This report will help the Air Force component planners understand the various sources of guidance so they can build country plans that link guidance to resources.

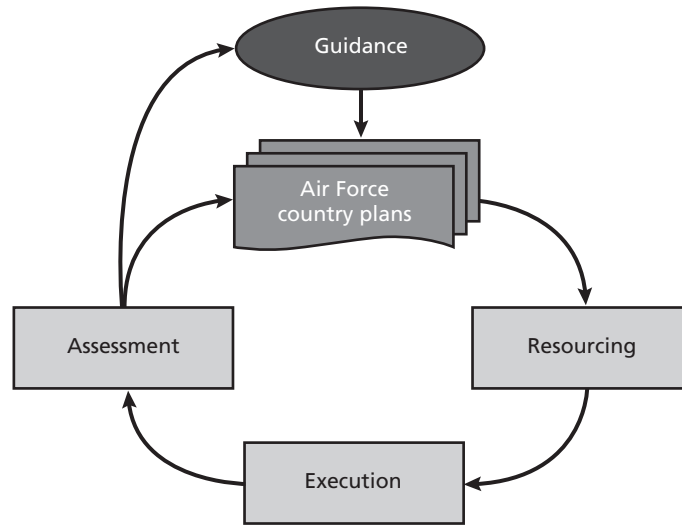
The next step in the country planning cycle is the development of a country plan. This report does not prescribe a specific planning format that Air Force component planners must use. However, in the absence of any definitive DoD guidance, Air Force component planners

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<sup>1</sup> A list of these discussions with representatives from the COCOMs and Air Force components can be found in Appendix A.

<sup>2</sup> An Air Force country plan is not limited to Air Force activities; it also covers the air, space, and cyber domains.

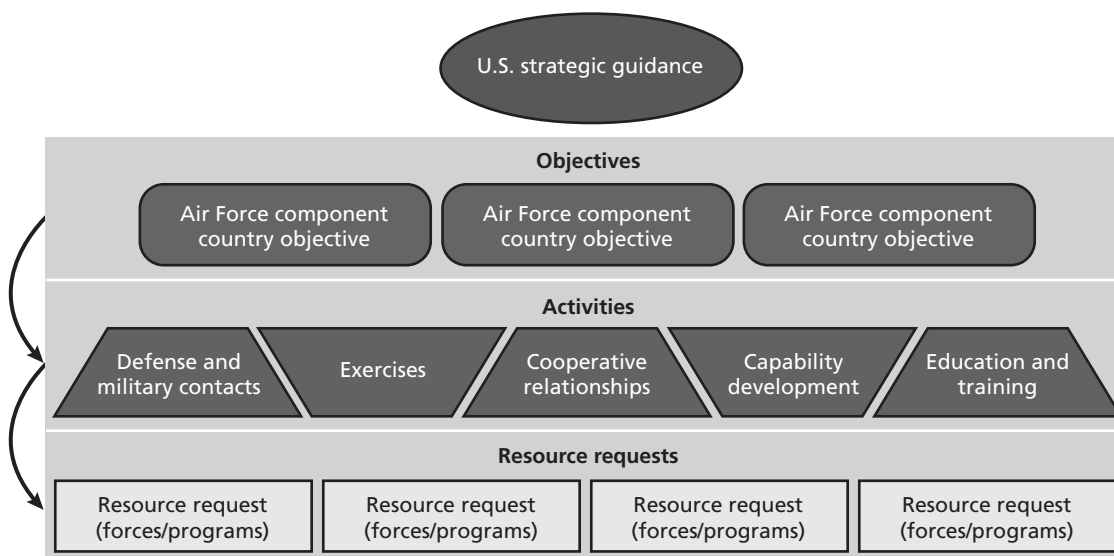
**Figure S.1**  
**Country Planning Cycle**



RAND TR1186-S.1

need some waypoints to help them develop their country plans. This report identifies and describes the key elements of an Air Force country plan and ways to bridge the gap between guidance and resources. These key elements are shown in Figure S.2: objectives, activities, and resource requests. *Objectives* describe what the Air Force component wants to achieve in a given country. *Activities* describe how the Air Force component intends to achieve the objectives. And, finally, *resource requests* outline the forces and funding necessary to undertake activities and achieve objectives in support of the guidance.

**Figure S.2**  
**Key Elements of a Country Plan**



RAND TR1186-S.2

Once the country plan is developed, the next steps in the cycle are resourcing and execution. Air Force components submit resource requests to various Air Force, DoD, and U.S. government resourcing processes. The complicated nature of the resourcing process was a common complaint among Air Force and COCOM planners in discussions with the study team. There are hundreds of security cooperation programs and dozens of ways to request funding. In response to these concerns, this report also seeks to help Air Force component planners understand their role in the resourcing process.

Executing the country plan is a simple matter, at least compared with the resourcing process. In most cases, the country plan will need to be modified to reflect available resources. In this constrained budget climate, it is unlikely that all of an Air Force component's resource requests will be approved. Air Force planners help execute the country plan by ensuring that activities are tasked to the appropriate organizations and by assisting with scheduling and coordinating activities.

The final phase of the country planning cycle is assessing the country plan. Air Force and COCOM planners understand the need for assessment but are unsure how to do it well. Indeed, assessment is perhaps the least developed part of the country planning process in DoD. While DoD has multiple assessment processes, few were designed with country planning in mind. Nonetheless, Air Force planners can use these processes to identify and rectify issues that prevent them from achieving the objectives in their country plans and to inform the development of future guidance and country plans.

This report concludes by identifying two major areas for improvement in DoD and Air Force country planning and offering some related recommendations (see Chapter Five). The lack of comprehensive guidance on country planning is a real obstacle to planning,<sup>3</sup> as is the lack of any standard process for resourcing country plans. While these are DoD-wide problems, the Air Force need not wait for DoD-wide solutions. As a first step, we recommend that the Air Force develop guidance on country planning, perhaps in a future version of the Air Force Campaign Support Plan or Air Force doctrine on building partnerships. In addition, the Air Force should better synchronize the resourcing process for Air Force-managed programs by aligning them with its planning, programming, and budgeting cycle.

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<sup>3</sup> Since the writing of this report, the Security Cooperation Reform Task Force in the Office of the Secretary of Defense has begun work on a country planning guide.



## Acknowledgments

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## Abbreviations

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AF/A5X	Office of the Director of Operational Planning, Policy, and Strategy, Headquarters U.S. Air Force
API	Federal Aviation Administration Office of International Aviation
CAPE	Office of Cost Assessment and Program Evaluation
COCOM	combatant command
DoD	U.S. Department of Defense
DoS	U.S. Department of State
FAA	Federal Aviation Administration
FMF	foreign military financing
GAO	U.S. Government Accountability Office
GEF	Guidance for Employment of the Force
GFMB	Global Force Management Board
IMET	international military education and training
IPL	integrated priority list
ISR	intelligence, surveillance, and reconnaissance
NASA	National Aeronautics and Space Administration
OSD	Office of the Secretary of Defense
OUSD(C)	Office of the Under Secretary of Defense (Comptroller)
POM	program objective memorandum
SAF/IA	Office of the Deputy Under Secretary of the Air Force for International Affairs
SAR	search and rescue
TSCMIS	Theater Security Cooperation Management Information System
USAID	U.S. Agency for International Development



## Introduction

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Recent years have seen a significant change in the way in which the U.S. Department of Defense (DoD) conceptualizes its role globally and, accordingly, a change in the way it articulates that role in formal planning documents. Perhaps the most obvious change was the 2008 publication of the Guidance for Employment of the Force (GEF). Rather than focusing the planning effort on wartime-based operational and contingency plans, the GEF focused instead on “Phase 0,” or the peacetime, day-to-day activities designed to engage specific partners and build relationships that pave the way for greater security. In the past, these types of peacetime plans have been called *security cooperation* or *engagement* plans.

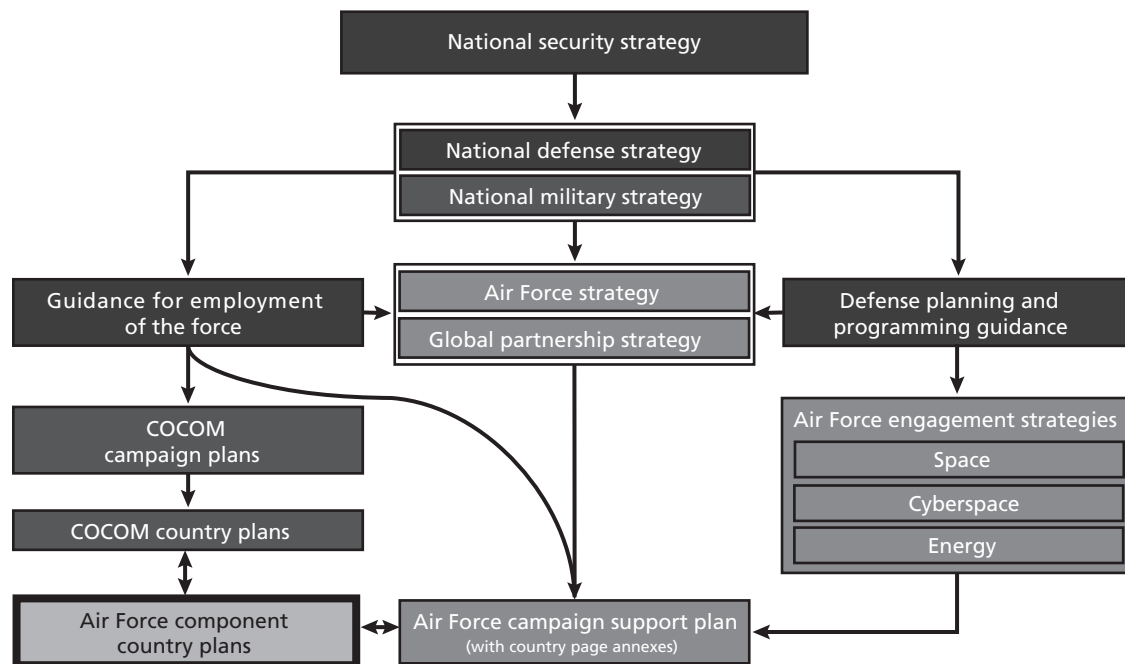
Despite the emphasis on planning for peacetime engagement with foreign militaries, existing guidance on country planning is fragmented and incomplete. This is in stark contrast to the detailed doctrine, processes, concepts, and tools that DoD has developed over the years to support contingency planning. Many of these things do not exist for country planning, and none provides a concise overview of the country planning process. The purpose of this report is to provide just such an overview while also highlighting the documents and tools that relate specifically to country planning. This report is geared toward a new Air Force planner who has little or no background in country planning.

Figure 1.1 illustrates where Air Force component country plans fit in relation to other DoD and Air Force guidance documents. They primarily support the combatant commander’s campaign and country plans, but they are also informed by Air Force guidance. The Air Force campaign support plan consolidates Air Force planning guidance from other Air Force documents, such as the Air Force Global Partnership Strategy.

To develop this report, the RAND study team reviewed existing DoD and U.S. government plans and planning processes. The team focused primarily on understanding existing DoD planning processes and spoke with a wide range of Air Force component and combatant command (COCOM) planners (see Appendix A for a list of these discussions). The team also reviewed other U.S. government agencies’ planning processes, particularly those of the U.S. Department of State (DoS) that directly affect DoD efforts.

The Air Force component and COCOM plans and processes reviewed for this study varied significantly: There was no single approach to country planning in DoD. However, the problems faced by Air Force and COCOM planners were remarkably similar. Few Air Force or COCOM planners had any previous experience or education related to country planning; almost all of their experience was acquired on the job. They were all trying to develop plans that linked guidance to resources, though they varied in their approaches and were rarely successful. Few understood the resourcing process, and almost all believed that it was unnecessary.

**Figure 1.1**  
**Air Force Component Country Plans in Relation to Other DoD Guidance Documents**



RAND TR1186-1.1

ily complicated. And finally, while almost all agreed on the need for assessment, few thought that they were doing it well.

This report is, in many ways, a collection of best practices designed to help new Air Force planners solve—or at least mitigate—these problems. The study team developed the country planning cycle depicted in Figure 1.2 as a simple way to explain a complicated process to new planners. It has five main parts: guidance, development of a country plan, resourcing, execution, and assessment. The study team also identified the key elements of a country plan, focusing on those necessary to link guidance to resources. The key elements are objectives, activities, and resource requests. The country planning cycle and the key elements of a country plan will help new Air Force planners quickly understand what country planning is, how to develop a plan that links guidance to resources, and how to navigate existing resourcing and assessment processes.

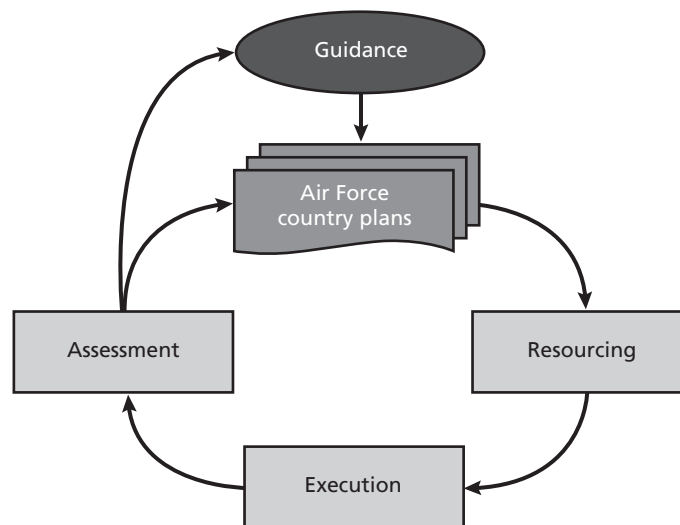
## Organization of This Report

The remainder of this report discusses each of the parts of the country planning cycle in detail.

Chapter Two describes the role of guidance in country planning and introduces the key elements of a country plan. The main sources of guidance for an Air Force country plan are the COCOM campaign and country plan and the DoS Mission Strategic Resource Plan.<sup>1</sup> These plans provide guidance on overall DoD and U.S. government objectives and priorities. The Air

<sup>1</sup> The Air Force campaign support plan also summarizes all applicable Air Force guidance related to country planning.

**Figure 1.2**  
**Country Planning Cycle**



RAND TR1186-1.2

Force country plan is essentially the service's slice of the overall COCOM country plan that addresses air, space, and cyberspace. It is a long-term plan that looks out at least three to six years.<sup>2</sup> The key elements of an Air Force country plan are objectives, activities, and resource requests. Objectives are based on guidance and describe what the Air Force component wants to achieve. A well-crafted objective is both measurable and achievable (this is important to later assessments). Activities are what the Air Force component is going to do (or request that someone else do) to achieve the objective. They can be discrete events or long-term projects (such as negotiating an agreement). Finally, resource requests outline the forces and funding necessary to undertake activities to achieve objectives. They are the key link to the resourcing process.

Chapter Three provides an overview of resourcing and execution. Resourcing involves multiple Air Force, DoD, and U.S. government processes, each with its own timelines and rules. There are two types of resource requests: requests for forces and requests for funding. Requests for forces go through the Joint Staff's Global Force Management process. Requests for funding fall into one of four categories: security assistance, DoD-managed programs, Air Force-managed programs, or Air Force component program objective memorandums (POMs). *Security assistance* refers to a collection of programs managed by DoS but often executed by DoD. It has a well-defined process that begins with the U.S. Embassy Security Assistance Office. The process for DoD- and Air Force-managed programs is more varied and depends on the program manager. The Office of the Secretary of Defense (OSD) and the Joint Staff manage most DoD programs, and the Office of the Deputy Under Secretary of the Air Force for International Affairs (SAF/IA) and the Headquarters Air Force Office of the Director of Operational Planning, Policy, and Strategy (AF/A5X) manage most Air Force programs. Requests for funding through the Air Force component POM are handled through the Air Force planning, programming, and budgeting process.

<sup>2</sup> The plan's time window must be at least three years to influence the budget cycle. However, six years (the length of the Future Years Defense Program) is ideal.

The execution phase begins at the conclusion of the resourcing process. In most cases, the country plan will need to be modified to reflect approved force and funding levels. Rarely are all resource requests approved, which means that some activities will have to be scaled back, postponed, or canceled altogether. The role of the Air Force planner is to ensure that activities are tasked to and coordinated with the appropriate organizations. The Air Force planner can also help schedule and deconflict activities.

Chapter Four describes existing assessment processes in DoD. Assessments inform future guidance, force and resource levels and availability, and future revisions to country plans. There are multiple assessment processes in DoD, but most were not designed with country planning in mind. Nonetheless, country planners can use them to identify and resolve issues that impede the achievement of country planning objectives. Existing DoD assessment processes include the combatant commander's campaign plan assessment, directed in the GEF, as well as the development of integrated priority lists. These processes are useful for identifying potential issues, but assessment does not end there. Where possible, issues should be resolved usually through changes to authorities and budgets. Changes to authorities can be made through the legislative proposal process, and changes to budgets can be made using the program and budget review.

Chapter Five presents some recommended actions for improving country planning in the Air Force. Three appendixes, respectively, list the organizations that provided input to this study, offer a general timeline for key steps in the country planning process, and present a detailed review of opportunities and best practices for interagency collaboration.

## Understanding Guidance and Developing a Country Plan

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This chapter describes the key elements of a country plan and the main guidance documents that Air Force planners are likely to use to develop a country plan. While there is no approved format for country plans in DoD, the study team was able to identify the key elements of a country plan based on an analysis of a wide variety of extant country plans.

### Developing a Country Plan

The country plan is at the heart of the country planning cycle. One of the study team's first steps was to ask COCOM and Air Force component planners what purposes they thought a country plan should serve. Two distinct themes emerged from these discussions: Air Force and COCOM planners agreed the country plan should be informed by guidance and that it should include objectives that are clearly linked to activities and resources.<sup>1</sup> The link to resources was regarded as both critical and incredibly difficult. In addition to these basic functions, COCOM and Air Force component planners also thought that country plans should help coordinate activities (mainly by increasing visibility) and inform assessments.<sup>2</sup>

Based on these discussions, the study team identified the basic elements of a country plan, which are depicted in Figure 2.1: objectives, activities, and resources. The country plans reviewed for this study included many other useful elements, such as points of contact and lists of agreements and negotiation venues. These should be included in country plans as needed. The elements described here are the bare minimum necessary to link guidance to resources and inform execution and assessment. The following sections describe guidance and each of the key elements of a country plan in detail.

### Understanding Guidance

Before Air Force planners can develop a country plan, they need to have a detailed understanding of what the government and DoD are trying to achieve in a particular country. This guidance comes in the form of various documents. The DoS Mission Strategic Resource Plan and the combatant commander's country plan are the most useful sources of strategic guidance

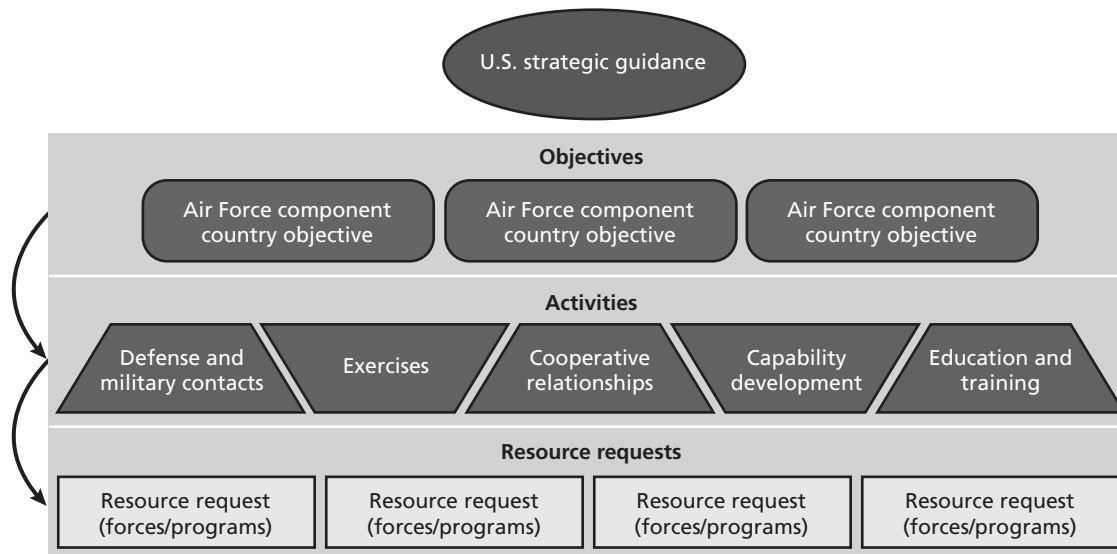
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<sup>1</sup> The terminology among planners and plans varied considerably. For example, objectives were also referred to as *lines of effort*, and activities were also called *events*. For the purposes of this report, we use *objectives* (what you want to do), *activities* (what you actually do), and *resources* (the necessary forces and funding).

<sup>2</sup> The roles of the country plan in identifying capability gaps are discussed in Chapter Four.



**Figure 2.1**  
**Key Elements of a Country Plan**



RAND TR1186-2.1

for the development of Air Force component country plans; they provide the most proximate source of guidance for the component planner on DoD and wider U.S. government objectives.

The Mission Strategic Resource Plan is written by the country team and approved by the chief of mission or the ambassador. The country team is led by DoS but includes representatives from multiple U.S. departments and agencies. DoD usually has two staffs on the country team at the U.S. embassy: the defense attaché and the chief of the Security Assistance Organization.<sup>3</sup> The Mission Strategic Resource Plans have a standard format but can vary in terms of content. The DoD representatives on the country team can help expand upon and clarify DoD support of the Mission Strategic Resource Plan.

The combatant commanders' country plans are another good source of information, but they lack consistency across COCOMs.<sup>4</sup> Some COCOMs provide very detailed guidance, while others are still in the process of establishing their country plans. Usually, these plans will summarize the guidance in the combatant commander's campaign plan and the GEF. However, this is not always the case, making it necessary to consult these documents in conjunction with the country plan. The country desk officer in the COCOM can help translate DoD guidance and reach out to other country desk officers on the Joint Staff and in OSD for additional clarification as needed.

<sup>3</sup> The senior DoD representative on the country team is called the *senior defense official*. In most cases, either the defense attaché or chief of the Security Assistance Organization is dual-hatted as the senior defense official. For more information, see U.S. Department of Defense Directive 5105.75, *DoD Operations at U.S. Embassies*, December 21, 2007.

<sup>4</sup> Country plans are often annexes to combatant commanders' campaign plans. There is no central repository for country plans. COCOMs sometimes post them on their internal networks; however, the most reliable way to get a copy is to contact the plans office or the relevant desk officer at the COCOM.

There are many other sources of guidance, including presidential directives, the Defense Programming and Planning Guidance,<sup>5</sup> functional campaign plans (for instance, on deterrence or pandemic disease), and strategies issued by other U.S. departments and agencies, as well as treaties or memorandums of understanding with the partner country. In most cases, this guidance will either be captured by or referenced in the Mission Strategic Resource Plan, the COCOM country plan, or the Air Force Campaign Support Plan and country pages.<sup>6</sup>

The Air Force Campaign Support Plan attempts to capture all Air Force country guidance in one place. It includes references to related strategies and plans, such as the Air Force Space Engagement Strategy. It also has a series of country pages maintained by SAF/IA. These country pages include Air Force objectives for each country and a summary of Air Force activities.

### Developing Country Objectives

Identifying objectives that support COCOM objectives and are relevant to the Air Force may be the most challenging part of developing a strategic country plan. These objectives should be measurable and achievable within a three- to six-year period.<sup>7</sup> In addition, Air Force component objectives should be logically linked to strategic guidance and have annual milestones. None of this is easy to do.

Determining what is achievable with a partner country requires a deep understanding of both U.S. and partner-country objectives and interests, as well as the air, space, and cyber capabilities that can support those interests. The purpose of summarizing strategic guidance, as described in the preceding section, is to gain an understanding of U.S. objectives.

Air Force component planners should think broadly about objectives and not limit themselves to supporting partner-country air forces through capacity-building. Air Force component objectives can and should support a wide range of DoD and U.S. government objectives, such as promoting regional stability, establishing relationships that can be leveraged during crises, assuring partners, and deterring adversaries.

Identifying partner-country objectives can be more challenging. There are many sources of information on partner-nation objectives and interests; however, most are relevant only at the strategic or political-military level.

**Identifying Partner-Country Objectives.** The best source of information regarding partner objectives is the partner country itself. The level of access and quality of information generally depends on the overall relationship of the country with the United States and the Air Force. Many Air Force components host bilateral talks with partner-country air forces that provide a useful window into partner objectives. In addition, there are many bilateral and multilateral talks with partner countries at the headquarters level, including Chief of Staff of the Air Force counterpart visits, Air Senior National Representative Talks, Operator Engagement Talks, the Building Partnerships Seminars held in conjunction with the Unified Engagement war game,

<sup>5</sup> Formerly known as the Guidance for Development of the Force, and, before that, Defense Planning Guidance and Strategic Planning Guidance, among other names.

<sup>6</sup> U.S. Department of the Air Force, *United States Air Force Campaign Support Plan*, September 2010. Not available to the general public.

<sup>7</sup> As discussed earlier, this is a useful planning horizon for strategic plans because it is within the Future Years Defense Program and outside the resourcing cycle (which can take up to three years, depending on the program). It is also within the planning horizon for key guidance and planning documents, such as the GEF and the COCOM campaign plans.

the Aerospace Standards Interoperability Council, the Air Force's Technical Coordination Program, and global and regional air chiefs' conferences. All of these are potentially useful forums for identifying a partner country's objectives with regard to air, space, and cyberspace.

Aside from the country representatives themselves, the air attaché and the security cooperation official are also useful sources of information about a partner country.<sup>8</sup> Their locations inside the country and their interactions with partner-country personnel give them a unique perspective. Intelligence community products are sometimes useful in providing a broader and more high-level perspective.<sup>9</sup> However, the intelligence community tends to have much more information on adversaries than on partners.

Often, it is also necessary to understand a partner country's capabilities and capacity in order to develop achievable Air Force component objectives. This type of information can be particularly difficult to find. Unclassified sources, such as *Jane's World Air Forces*, can provide a good overview of the structure of the partner nation's military and equipment but generally do not include information on the readiness and quality of partner-nation aircraft and personnel. The 6th Special Operations Squadron is the best source for information on partner capabilities and capacity. However, it will have the required information only if it has recently conducted an assessment of the country.

**Bringing Together Air Force Component and Partner Objectives.** Ideally, Air Force component country objectives should address those areas where U.S. and partner-country objectives and interests overlap. These are the areas where progress and partnership are most likely. However, U.S. and partner-country interests and objectives are not set in stone. It is possible to change the parameters of the discussion. For instance, the United States may seek to convince a partner country that it is in that country's interest to counter terrorism or piracy in the region. Similarly, partner countries may seek to convince the United States to change its approach to the country or region.

The process of thinking about Air Force component and partner-country objectives together is essential to developing achievable and sustainable objectives. It is also important that objectives be measurable.<sup>10</sup> For instance, assume that the U.S. objective is to build a partner country's peacekeeping capabilities and that the partner country supports this objective. Improving the ability of the country to transport its own troops to peacekeeping missions might be an Air Force component objective. However, that objective is not measurable because "improving" is indeterminate. It could mean anything from a single meeting to discuss peacekeeping to a large foreign military sales case for multiple transport aircraft and associated training. To create a measurable objective, one might further assume, for example, that the country has an air force with two C-130s, but neither of them is operational. The Air Force component objectives might be twofold: first, to help the partner country develop the capacity to maintain its C-130s on its own and, second, to get the C-130s ready to transport troops to peacekeeping missions. Both objectives are measurable in the sense that it is possible to determine whether or not they have been achieved.

<sup>8</sup> The defense attaché is also a good source, if there is not an air attaché.

<sup>9</sup> This was the experience of many Air Force component and COCOM planners with whom the RAND team spoke and mirrors the experience of the research team in attempting to find detailed information on partner countries.

<sup>10</sup> Measurable objectives are central to assessment. See, for example, Jennifer D. P. Moroney, Joe Hogler, Jefferson P. Marquis, Christopher Paul, John E. Peters, and Beth Grill, *Developing an Assessment Framework for U.S. Air Force Building Partnerships Programs*, Santa Monica, Calif.: RAND Corporation, MG-868-AF, 2010.

It can be useful to break down long-term objectives into annual subobjectives or milestones. For example, if the objective is to develop a partner country's ability to maintain its own C-130s, the first annual milestone might be to complete an assessment of the partner country's current maintenance practices and develop a training plan. The second annual milestone might be to send some number of personnel to the United States for maintenance training and to conduct two mobile training team events in country. These milestones can be refined as more is learned about partner-nation capabilities (or lack thereof).

**Linking Air Force Component Country Objectives to Guidance.** The final step in developing Air Force component country objectives is to clearly explain how they link back to U.S. strategic goals and objectives. This step is particularly important because it is used to justify requests for resources.

Many COCOMs and Air Force components attempt to do this by developing large databases or spreadsheets that link GEF global and regional end states with COCOM regional, sub-regional, and country objectives and with Air Force global and country objectives. These databases can be useful tools. However, continuing with the previous example, the best approach is to simply write a paragraph explaining why refurbishing C-130s helps support the U.S. goal of increasing peacekeeping capacity. Some version of such a paragraph is part of almost every resource allocation process because decisionmakers want to know why this project is important and why it is more important than another project. A database or spreadsheet is not as useful as a well-written paragraph in these situations.

### Activities

Once the objectives have been determined, the next step is to identify the types of activities necessary to achieve those objectives. Activities are what you do to achieve your objectives. They can be long-term projects (such as negotiating an agreement) or discrete events (such as an exercise). Different organizations use different nomenclature; some use the term *activities*, while others use terms such as *tasks*, *events*, or *ways*. This report uses *activities* to describe what the United States does with partner countries or, to put it in more specific terms, activities are what component and COCOM planners input into the COCOMs' Theater Security Cooperation Management Information System (TSCMIS). They include exercises, exchanges, education and training events, cooperative development activities, and much more.

In many countries, the Air Force has an established pattern of activities. For example, it might host annual talks and a biannual exercise and conduct a dozen personnel exchanges and sporadic training events. The question is whether this level of activity supports Air Force component objectives and whether it should be increased, decreased, or refocused. For instance, perhaps the biannual exercise should be focused on warfighting instead of peacekeeping, or on special operations forces instead of conventional forces.

The full record of all activities that the Air Force component undertakes with a partner country to meet its objectives should be tracked through COCOM and Air Force TSCMISs. However, the strategic country plan should include a summary of activities and guidance concerning which activities should be increased, decreased, or refocused. If possible, planners should plan activities out to six years (though the norm seems to be two to three years, at most), with the recognition that the activities in future years will vary depending on what was funded and executed in prior years.

## Resource Requests

Articulating resource requests is the most important part of country planning. Planning is nothing without execution, and execution is impossible without resources. Each activity in the TSCMIS should be accompanied by a resource request. For instance, to conduct an exercise, an Air Force component needs to budget for travel funds for its staff to plan the exercise, request U.S. forces to conduct the exercise, and, perhaps, request funding from the DoD's Developing Countries Combined Exercises Program. All of these resources must be identified so that forces and funding can be requested through the resource processes described in the next chapter.

It can be very difficult to ascertain which programs are available to fund different activities. Many organizations have reference documents to help new desk officers. The Office of the Deputy Assistant Secretary of Defense for Partnership Strategies and Stability Operations is currently developing the OSD Partnership Strategy Toolkit. The toolkit is available to registered users online and includes a searchable list of DoS and DoD programs that can be grouped by activity. The toolkit is currently undergoing beta testing, and new programs are still being added.

In addition to the OSD Partnership Strategy Toolkit, RAND has developed a resourcing guide for the Air Force.<sup>11</sup> The guide includes many of the DoS and DoD programs in the OSD toolkit, in addition to Air Force programs. It also includes an illustrative vignette to help users understand how to use the guide.

## Coordination

Coordination is important throughout the country planning cycle. At a minimum, the Air Force component country plan should be coordinated with the air attaché and the security cooperation official at the country's U.S. embassy, as well as country desk officers at the COCOM and throughout DoD. The coordination of the country plan should be focused on the objective level. As discussed earlier, it is important that Air Force component country objectives complement the Mission Strategic Resource Plan and the combatant commander's campaign and country plans. The Air Force component should also be looking to collaborate with other organizations with similar goals in the country. Depending on the particular country objectives, the Air Force component should also consider partnering with other service components, U.S. departments and agencies, international organizations, and nongovernmental organizations. Coordination within DoD and with other U.S. departments and agencies early in the process helps facilitate coordination on activities and resources later in the planning cycle. In general, these interactions should take place through the country's U.S. embassy or the COCOM.

Appendix C provides an overview of opportunities for Air Force planners to collaborate with other military departments or with agencies outside DoD, along with the associated benefits and challenges of doing so. It also suggests ways in which Air Force planners can leverage these opportunities and begin the process of collaborating on initiatives with similar goals.

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<sup>11</sup> Jennifer D. P. Moroney, Joe Hogler, Lianne Kennedy-Boudali, and Stephanie Pezard, *Integrating the Full Range of Security Cooperation Programs into Air Force Planning: An Analytic Primer*, Santa Monica, Calif.: RAND Corporation, TR-974-AF, 2011.

## Summary

This chapter provided planners with an overview of the first two steps in the country planning cycle: guidance and development of the country plan. It outlined the key guidance documents that a planner should use to develop a country plan, as well as other reference sources that might be useful to a planner. This chapter also introduced the key elements of a country plan: objectives, activities, and resource requests. These key elements are based on the results of the study team's analysis of existing DoD and Air Force country plans. While the key elements are not exhaustive of everything that can or should be included in a country plan, no country plan would be complete without them. They are critical to linking guidance to resources and providing the basis for plan execution and assessment. In particular, the resource requests and activities in the country plan are used to inform the resourcing process and guide execution, as described in the next chapter.





## Resourcing and Executing Country Plans

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Once Air Force component planners have developed a country plan, the next step is securing the resources necessary to execute it. By identifying activities and related resource requests, the country plan lays the groundwork for the resourcing and execution phases. Resource requests are the main input to the resourcing process, and activities are the foundation of execution.

The following sections describe the myriad of different resourcing processes by which Air Force components can obtain the resources necessary to implement their country plans. There are two main types of resource requests: requests for forces and requests for funding. Most requests for forces go through the Joint Staff's Global Force Management process described in the next section. Requests for funding, described subsequently, can be directed to many different organizations, depending on the funding category. The chapter concludes by describing the role of Air Force planners in the execution phase.

### Requests for Forces: The Global Force Management Process

Air Force components submit requests for forces through their COCOM using the Global Force Management process.<sup>1</sup> The Joint Staff runs the Global Force Management process through the Global Force Management Board (GFMB), which includes representatives from each of the COCOMs and the services. Guidance for global force management comes from the GEF, which includes force allocation priorities, and the Global Force Management Implementation Guidance issued by the Joint Staff.<sup>2</sup>

The Global Force Management process runs on an annual cycle, with quarterly GFMB meetings, usually in the second month of each quarter (i.e., February, May, August, and November).<sup>3</sup> At the first meeting of the year (in February), the GFMB reviews guidance, assumptions, and policies. During the second meeting (in May), it reviews combatant commander rotational force requirements. This means that Air Force components must submit force requirements to their combatant commander months earlier. After the second GFMB meeting, the combatant commander force requirements are sent to the appropriate joint force provider to

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<sup>1</sup> Occasionally, requests for small teams of subject-matter experts are made outside the Global Force Management process. This informal approach only works when the personnel are not in high demand, their reporting organization is willing to send them, and the costs can be paid from existing budgets. The approach works in some instances, but it is usually best to have a formal request in the works as well.

<sup>2</sup> U.S. Joint Chiefs of Staff, *Global Force Management Implementation Guidance, Fiscal Years 2008–2009*, June 4, 2008. Not available to the general public.

<sup>3</sup> Additional information can be found in U.S. Joint Chiefs of Staff (2008).



inform sourcing recommendations. The Joint Staff is the joint force provider for general-purpose forces,<sup>4</sup> U.S. Special Operations Command is the joint force provider for special operations forces, and U.S. Transportation Command is the joint force provider for mobility requirements. The joint force providers present their sourcing recommendations at the third GFMB meeting (in August). The final sourcing recommendation is called the Global Force Management Allocation Plan and is approved by the Secretary of Defense. At the final GFMB meeting (in November), the board reviews the Global Force Management Allocation Plan and makes any necessary adjustments. Thus, Air Force components must submit requests for forces a year or more before they are needed.

In addition to this annual cycle, the Joint Staff can convene a GFMB at any time to handle contingency requests, such as in the aftermath of the January 2010 earthquake in Haiti. The overall roles and responsibilities remain the same, but the timeline is significantly shorter. In a contingency, Air Force components would continue to submit requests for forces through their COCOM.

## Requests for Funding

Requests for funding are considerably more complicated than requests for forces. This is largely because there are multiple processes, run by different organizations, on varying schedules. For the purposes of explanation, the study team grouped requests for funding into four categories. This section addresses the security assistance process managed by DoS, DoD-managed programs, Air Force-managed programs, and the Air Force POM process.

### Security Assistance

*Security assistance* refers to a “group of programs authorized by the Foreign Assistance Act of 1961, as amended, and the Arms Export Control Act of 1976, as amended, or other related statutes by which the United States provides defense articles, military training, and other defense-related services by grant, loan, credit, or cash sales in furtherance of national policies and objectives.”<sup>5</sup> These programs are generally funded by DoS and executed by DoD. They include foreign military financing (FMF), foreign military sales, and international military education and training (IMET), among others.<sup>6</sup>

Air Force components can influence requests for security assistance resources by supporting the Security Assistance Organization in the country’s U.S. embassy and working with their COCOM. The Security Assistance Organization has input into the Mission Strategic Resource Plan. This plan is usually due in March and is used by DoS to make resourcing decisions.<sup>7</sup> Most U.S. embassies will start the planning process months ahead of time. To ensure that the Security Assistance Office has time to include Air Force component resource requests,

<sup>4</sup> This role was previously held by U.S. Joint Forces Command.

<sup>5</sup> U.S. Joint Chiefs of Staff, *DoD Dictionary of Military and Associated Terms*, Washington, D.C., Joint Publication 1-02, November 8, 2010, as amended through November 15, 2011.

<sup>6</sup> For further information, see U.S. Code, Title 22, Chapter 32, Sub-Chapter II, U.S. Military Assistance and Sales, February 1, 2010.

<sup>7</sup> U.S. Department of State and U.S. Agency for International Development, *Strategic Plan Fiscal Years 2007–2012: Transformational Diplomacy*, Washington, D.C., revised May 7, 2007.

the Air Force component probably needs to submit its requests by December of the previous year, if not earlier.

In parallel to the DoS process, the Security Assistance Organization also submits requests for security assistance through the online FMF/IMET budget tool managed by the Defense Security Cooperation Agency. The submissions go to the COCOM, where they are prioritized regionally, and then to the Joint Staff and OSD, where they are prioritized globally. Air Force components can influence COCOM priorities for security assistance. The Mission Strategic Resource Plan and the DoD priorities are both submitted to DoS for review around March. DoS's Bureau of Political-Military Affairs hosts a series of roundtable discussions to review the submissions and makes a final recommendation for inclusion in the DoS budget request that is submitted to Congress in February as part of the President's budget for the following fiscal year. This means that the money requested in the Mission Strategic Resource Plan in March will be available in October of the following year at the earliest.<sup>8</sup>

Congress has a significant say in how security assistance funds are allocated. Changes often include large earmarks for specific countries in the final budget.<sup>9</sup> For example, Egypt receives more than \$1 billion in FMF, and Israel receives more than \$2 billion. That commonly adds up to more than two-thirds of the overall U.S. FMF budget.

Nonetheless, by seeking to influence the security assistance process through parallel channels, and by working closely with the organizations involved, the Air Force component is more likely to successfully resource its plan.

### **U.S. Department of Defense–Managed Programs**

Unlike DoS-managed security assistance programs, there is no single process for requesting resources from DoD-managed programs. There are many different DoD programs, and each has its own processes and timelines. Examples of DoD programs include the Chairman's Exercise Program, Global Train and Equip,<sup>10</sup> and the Combating Terrorism Fellowship Program. The Joint Staff and OSD are the program managers for most DoD programs.

In almost all cases, Air Force components request resources for DoD-managed programs through their COCOM, which then forwards the requests to the appropriate program manager. Usually, the COCOM will have the necessary information on the processes and timelines for the different DoD-managed programs. However, as the study team discovered in its conversations with COCOM planners, few are familiar with the full range of available DoD-managed programs, especially programs that they do not use frequently. The OSD Partnership Strategy Toolkit and the RAND-developed resource guide for the Air Force, mentioned earlier, are both valuable sources of information for Air Force components.

The timing of DoD programs depends on how they are managed—specifically whether Congress requires program managers to submit a budget that allocates money to individual countries. For example, the DoS budget request for security assistance programs includes fig-

<sup>8</sup> For example, the plan submitted in March 2010 will be funded in the fiscal year starting in October 2011.

<sup>9</sup> For the most recent example of these earmarks, see Public Law 111-117, Consolidated Appropriations Act of 2010, Title IV, International Security Assistance, December 16, 2009.

<sup>10</sup> Also known as Section 1206, in reference to the National Defense Authorization Act for Fiscal Year 2006. For more information, see Jennifer D. P. Moroney, Beth Grill, Joe Hogler, Lianne Kennedy-Boudali, and Christopher Paul, *How Successful Are U.S. Efforts to Build Capacity in Developing Countries? A Framework to Assess the Global Train and Equip "1206" Program*, Santa Monica, Calif.: RAND Corporation, TR-1121-OSD, 2011.

ures on how much each country will receive. The DoD budget request for Overseas Humanitarian, Disaster Assistance, and Civic Aid Program funds does not detail which countries are included (in part because it is designed to respond to unforeseen contingencies). The timeline for DoD programs that allocate money to individual countries in their budget requests is very similar to the security assistance timeline. Program managers will request proposals early in the year, probably before the POM build begins in March, and the money will not be allocated until the following fiscal year. For DoD programs that do not identify specific countries in their budget requests, the timeline can be much shorter. In these cases, the request for proposals may not be issued until after the DoD budget is passed, usually in October, and the money can be allocated much more quickly, sometimes in the same fiscal year.<sup>11</sup>

### **Air Force–Managed Programs**

Air Force–managed programs are similar to DoD–managed programs in that there are many different types, each with its own processes and timelines. SAF/IA and AF/A5X manage most programs, although many other Air Force organizations are involved in program execution. Air Force–managed programs are divided into the following categories in the Air Force Campaign Support Plan:<sup>12</sup>

- Aviation Advisor Program
- State Partnership Program
- Senior leader contacts
- Air Force personnel attached to U.S. Embassies
- Education and training (including Mobile Training Teams)
- Stability, security, transition, and reconstruction teams<sup>13</sup>
- Language and cultural awareness training for U.S. personnel
- Strategic communication/public affairs
- Defense Personnel Exchange Programs
- Exercises
- International air and trade shows
- Intelligence sharing
- Technology transfer and disclosure
- Cooperative relationships
- Foreign partner aircraft beddown in the continental United States.<sup>14</sup>

The Air Force Campaign Support Plan and the Air Force Global Partnership Strategy are good sources of information on the types of programs managed by the Air Force.<sup>15</sup> In addi-

<sup>11</sup> The dates in this section are approximate. They are general rules based on conversations with program managers.

<sup>12</sup> These categories are derived from the categories in the Air Force Global Partnership Strategy.

<sup>13</sup> This category includes medical teams. The next revision of the Air Force Global Partnership Strategy may include a separate category for medical teams.

<sup>14</sup> In addition to the Air Force–managed programs, the Air Force Campaign Support Plan also tracks Air Force execution of the following security assistance programs: foreign military sales/direct commercial sales and IMET.

<sup>15</sup> See U.S. Department of the Air Force, *United States Air Force Global Partnership Strategy: Building Partnerships for the 21st Century*, Washington, D.C., 2008. As of this writing, a revised version of the document was being prepared by SAF/IA.

tion, information on Air Force–managed programs is included in the OSD Partnership Strategy Toolkit and the resource primer developed by RAND for the Air Force. However, for Air Force components, the best way to get help or assistance is to reach out to either SAF/IA or AF/A5X. AF/A5X is working to better coordinate the programs it manages, especially for countries in the Operator Engagement Talks Program.

Like DoD-managed programs, the deadlines for Air Force-managed programs will depend on the level of detail required by Congress. Generally, there will be a request for proposals either before the POM build in March or after the DoD budget is approved in October. Regardless, the best advice is to plan ahead. Once the initial country plan is completed, it should not be too difficult to update it as needed to support the different timelines of the various resourcing processes.

### **Air Force Component Program Objective Memorandum**

The Air Force component POM is the program over which the Air Force component has the most direct control, but it is also, in some ways, the least useful for working with foreign partners. Nonetheless, there are some important considerations that must be taken into account when developing the Air Force component POM. First, Air Force planners should consider the amount of travel and temporary duty assignment funds needed for trips to the region, conferences, meetings, and senior-level visits. If the Air Force component has assigned forces, the second major consideration is the amount of operations and maintenance funds required to train with foreign partners (in addition to the amount required for U.S. training).

Air Force component POMs are submitted through the Air Force corporate structure, which consists of a series of panels at the O-6 level, the Air Force Group at the one-star level, the Air Force Board at the three-star level, and, finally, the Air Force Council at the four-star level. Building partnerships is not a separate category; rather, it is part of the mobility panel. The Air Force begins to develop its POM in March for submission in July, which means that initial Air Force component POMs need to be completed in the spring.

### **Building Partnerships Core Function and Capability Portfolio**

Building partnerships is both an Air Force core function and a DoD joint capability area.<sup>16</sup> The Air Force’s Air Education and Training Command is the core function lead integrator for the Air Force’s building partnerships core function. The Office of the Under Secretary of Defense for Policy is the overall capability portfolio manager for DoD’s building partnerships joint capability area, and SAF/IA is the capability portfolio manager in the Air Force. Both Air Education and Training Command and SAF/IA can help Air Force component planners advocate for building partnership resources in the Air Force component POM. Additionally, SAF/IA can help advocate for resources in the larger DoD budget through the Office of the Under Secretary of Defense for Policy.

<sup>16</sup> SAF/IA officials have indicated that the phrase *building partnerships* will be replaced by the more conventional *security cooperation*. The other Air Force core functions are nuclear deterrence operations; air superiority; space superiority; cyberspace superiority; global precision attack; rapid global mobility; special operations; global integrated intelligence, surveillance, and reconnaissance; command and control; personnel recovery; and agile combat support. The other DoD joint capability areas are force support, battlespace awareness, force application, logistics, command and control, net-centric capabilities, protection, and corporate management and support.

## Executing the Country Plan

At the end of the resourcing process, an Air Force component should know which resource requests were funded and which were not. If all Air Force component resource requests are approved, the country plan can be executed without any changes. However, the more likely scenario is that one or more of the resource requests will be denied or only partially funded. In such a scenario, the first step in the execution process would be to modify the country plan based on available resources.

Depending on the resources available, the Air Force component planner decides which activities will be conducted in the following year and which activities will be modified, postponed, or canceled altogether. Modifications could include combining activities or reducing the scale or scope of the original activity—for instance, combining an Air Force exercise with a Navy exercise or turning a face-to-face seminar into a virtual meeting. It is important for Air Force component planners to document how the gap between the resources they requested and the resources they received affected the country plan and, specifically, the achievement of Air Force component objectives. This is an important part of the assessment process and is discussed in Chapter Four.

The next step is actually executing the country plan. The primary role of the Air Force component planner is to ensure that activities are tasked to the appropriate organizations within the Air Force component and coordinated with the appropriate organizations outside of the Air Force component. Coordinating the country plan early, as discussed in Chapter Two, helps facilitate coordination during execution. Once the activities are assigned and properly coordinated, the Air Force component planner monitors execution and can help deconflict activities as necessary. Many Air Force components and most Security Assistance Organizations maintain a calendar to help them keep track of activities and other important events in their countries.<sup>17</sup>

## Summary

A country plan is nothing if it is not resourced and executed. The resourcing process is complicated but important for Air Force component planners to understand. This chapter described the major components of the resourcing process, including the Global Force Management process used for requesting forces and the four different categories of funding sources: security assistance, DoD programs, Air Force programs, and the Air Force component POM. Finally, the chapter provided an overview of the role of the Air Force component planner during plan execution. The various dates cited for the resourcing processes described in this chapter are summarized in Appendix B.

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<sup>17</sup> A balanced-scorecard approach is another useful way to keep track of plan execution.

## Assessing Air Force Component Country Plans

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There is currently no set process for assessing Air Force component country plans.<sup>1</sup> Much work has been done regarding the assessment of DoD security cooperation at the programmatic level but not on the effectiveness of multiple programs and activities being simultaneously conducted in a single country.<sup>2</sup> Regardless, Air Force components should seek to leverage existing DoD assessment processes through their COCOM. This chapter discusses four DoD processes that can be used to identify and resolve issues with country plans. The chapter begins by discussing two processes for identifying issues: the combatant commander's campaign assessment as directed in the GEF and integrated priority lists (IPLs). Both tools are useful for highlighting issues for senior leaders. The second half of the chapter describes two key processes for resolving issues by making changes to authorities and to DoD programs and budgets: the legislative proposal process overseen by the Office of Legislative Counsel and the program and budget review run by the Office of Cost Assessment and Program Evaluation (CAPE) and the Office of the Under Secretary of Defense (Comptroller) (OUSD[C]).<sup>3</sup>

### Campaign Plan Assessment

Combatant commander campaign plan assessments are part of the Chairman's Joint Assessment and are due to the Joint Staff in September. The GEF directs campaign plan assessments to address two main issues: progress toward achieving campaign plan objectives and strategic and operational developments that may require changes to strategic guidance or the campaign plan itself. The assessment of progress toward achieving objectives includes an assessment of capability gaps—specifically whether existing resources (assigned and allocated forces, programs, and authorities) were sufficient to implement the campaign plan.

The key elements of Air Force component country plans described in Chapter Two are designed to support combatant commander campaign plans and assessments. As discussed, Air Force component objectives should be achievable, measurable, and linked to guidance.

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<sup>1</sup> Eventually, the Air Force will develop an assessment process as part of the Air Force Campaign Support Plan.

<sup>2</sup> See, for example, Jefferson P. Marquis, Richard E. Darilek, Jasen J. Castillo, Cathryn Quantic Thurston, Anny Wong, Cynthia Huger, Andrea Mejia, Jennifer D. P. Moroney, Brian Nichiporuk, and Brett Steele, *Assessing the Value of U.S. Army International Activities*, Santa Monica, Calif.: RAND Corporation, MG-329-A, 2006; Jennifer D. P. Moroney, Jefferson P. Marquis, Cathryn Quantic Thurston, and Gregory F. Trevorton, *A Framework to Assess Programs for Building Partnerships*, Santa Monica, Calif.: RAND Corporation, MG-863-OSD, 2009; and Moroney, Hogler, Marquis, et al., 2010.

<sup>3</sup> For the purposes of this report, *assessment* is defined broadly to include not only identifying issues but resolving them as well.



This will enable the component to show how much progress it has made toward its objectives and how that progress supports the combatant commander's campaign plan. In addition, by developing activities and resource requests in support of Air Force component objectives, the component can show how gaps in forces and funding affect its ability to undertake activities and achieve objectives.

## Integrated Priority Lists

IPLs are a useful tool for identifying issues such as capability gaps, restrictive authorities, or bureaucratic processes in need of reform. Like the campaign plan assessment, IPLs are also part of the Chairman's Joint Assessment, but they are due in January.<sup>4</sup> IPLs are prioritized lists of the combatant commander's capability gaps and are used in the Joint Capability Integration and Development System.<sup>5</sup> The lists receive a lot of attention from senior leaders during development of the GEF, Defense Planning and Program Guidance,<sup>6</sup> the POM, and the program and budget review. Combatant commander IPLs are usually submitted to the Joint Staff in January.

Air Force components can identify capability gaps and work with their COCOM to include them in the IPL. For instance, a common issue in combatant commander IPLs is the lack of authority to train and equip foreign partners. This has resulted in the creation of new DoD authorities, such as Global Train and Equip, but it has not solved the problem. This is because the real source of the problem was not a lack of authority but a lack of funds. Combatant commanders have always had the authority to train and equip partners using security assistance funds managed by DoS.

The IPLs can be useful for problems, such as a lack of security assistance funding, that are outside DoD's purview because they attract senior leader attention. However, they do not provide solutions. There are two other processes that are intended to make changes and resolve problems. If the problem is somewhere in the DoD budget, the program and budget review is the process to solve it. If the problem is somewhere in the legislation pertaining to DoD, the legislative process can help solve it.

## Program and Budget Review

The program and budget review is a useful tool for resolving shortfalls in forces or funding. It is a review of the entire DoD budget and is usually conducted from August (after the POMs are submitted) to November. CAPE and OUSD(C) run the review jointly.

The process begins when CAPE and OUSD(C) issue a memo known as a "call for issue papers" to all DoD components. The memo includes timelines and guidelines for issue paper submittals. Issue papers can address any area of the DoD budget and are usually due by the

<sup>4</sup> Chairman of the Joint Chiefs of Staff Instruction 3100.01B, *Joint Strategic Planning System*, December 12, 2008.

<sup>5</sup> Chairman of the Joint Chiefs of Staff Instruction 3170.01G, *Joint Capabilities Integration and Development System*, March 1, 2009.

<sup>6</sup> This document has had a number of different names in the past, including Guidance for Development of the Force and Strategic Planning Guidance.

end of August. Components submit their issue papers electronically through the Issue Nomination System, which is accessed through the Program Analysis and Evaluation Single Sign-On (PAESSO) portal. Air Force components can submit issue papers through the Air Force or through the appropriate COCOM.

A good issue paper is notoriously difficult to write because its purpose is to recommend a change to a POM and to convince senior leadership that a DoD component did not budget appropriately to meet strategic guidance. This can be a hard thing to prove. It is particularly difficult in the area of building partnerships, in which few resource requests are clearly linked to strategy. This is where a well-developed Air Force component country plan can come in handy. The Air Force component country plan should outline resource requests linked to strategy. If those resource requests are not met because a DoD component did not have adequate funding, that may be something that can be addressed in the program and budget review.

The difficulty for Air Force components is that they see only a portion of the global requirement. Discussions with other Air Force components can help overcome this hurdle. If every Air Force component (and every COCOM) is experiencing the same resource shortfall, there is probably a good case to be made for a change to the DoD budget. A good example might be a lack of U.S. training capacity to support foreign partners. The Air Force component would have to be able to show that the total global requirement for foreign partner training is not being met and answer several questions: What is the risk to U.S. and DoD strategy if the resource request remains unfulfilled? (In other words, why is it important?) What is the gap between the resource request and the current DoD component budget? What additional funds are required to resolve the gap, and where will they come from? (For example, what are the offsets?)

Once the issue papers are submitted, CAPE and OUSD(C) adjudicate them. This typically takes about two weeks. Issue papers will usually be grouped together and given to issue teams. The issue teams are led by a representative from CAPE or OUSD(C), depending on the issue, and include all relevant personnel from across DoD. The teams analyze the issue papers and make final recommendations around mid-August. Senior leadership makes the final decisions. Major issues are submitted to the Secretary of Defense and are discussed at the Defense Senior Leadership Conference. Other issues are resolved at the Deputy's Advisory Working Group, led by the Deputy Secretary of Defense, or the 3-Star Programmers Group.<sup>7</sup>

## Legislative Proposal Process

The legislative proposal process is used to make changes to DoD authorities. It is run by the Office of the Legislative Counsel in DoD's Office of the General Counsel.<sup>8</sup> DoD components can recommend changes to DoD's authorizing legislation (also known as Title 10) by drafting legislative proposals. The Office of the Legislative Counsel issues a call for legislative proposals every year, usually in June. The call memo will include specific guidance on submitting legislative proposals. Legislative proposals that have a budgetary impact are usually due in July. These proposals should also be included in the DoD budget or they will be unlikely to make

<sup>7</sup> Information on these groups can be found in DoD Directive 5105.79, *DoD Senior Governance Councils*, May 19, 2008.

<sup>8</sup> For additional information on the legislative process and timelines, see U.S. Department of Defense, Office of Legislative Counsel, homepage, last modified July 18, 2011.



it through the coordination process. Legislative proposals without a budgetary impact are due later, usually in August. Air Force components can submit legislative proposals through the Air Force or through the appropriate COCOM. All legislative proposals are submitted electronically through the Office of the Legislative Counsel portal.

After DoD components submit their legislative proposals, they go through two rounds of coordination. The first is within DoD, roughly from July to September. Then, the proposals are submitted to the Office of Management and Budget for interagency coordination, which lasts from around September to December. The final proposals are sent to Congress with the DoD budget, usually in February.

Crafting a good legislative proposal requires an excellent understanding of existing DoD authorities and, sometimes, the authorities of other departments and agencies as well. Legislative proposals that recommend incremental changes to existing DoD authorities have a better chance of being approved than broad new authorities.

Significant senior leader engagement is usually necessary to convince Congress to make significant changes. This is because Congress generally believes that DoD has all the authority it needs and also because it wants to ensure that it can exercise congressional oversight. In addition to crafting the legislative proposal, Air Force component planners should prepare senior leaders to engage with Congress in support of their legislative proposals.<sup>9</sup>

One example of a particularly difficult legislative proposal was DoD authority to train and equip partner country militaries. It took two years and senior-level engagement by the Secretaries of Defense and State, as well as numerous combatant commanders, but eventually Congress approved Section 1206 of the National Defense Authorization Act for Fiscal Year 2006, which gave DoD the authority to use its own money to train and equip foreign partners.<sup>10</sup> Part of the reason for the difficulty was that DoD could already train and equip partner-country militaries using DoS security assistance funding under Title 22 authorities in the Foreign Assistance Act of 1961, as amended. The real issue was that DoS did not have sufficient security assistance funds. This situation limited the amount of training and equipping that DoD could do, but it did not mean that DoD could not train and equip.

This is one example of an area in which it is useful to understand not only DoD authorities but also DoS authorities. Understandably, this is difficult for Air Force components, which is why it is important to reach out to subject-matter experts in legislative offices and other offices with knowledge of building partnership and security assistance authorities. It is especially useful to reach out to subject-matter experts who are based in Washington, D.C., and can quickly respond to requests from Congress for meetings and information. Within OSD, staff in the Office of the Deputy Assistant Secretary of Defense for Partnership Strategies and Stability Operations are the subject-matter experts for most building partnership-related authorities.

<sup>9</sup> For example, by preparing an “elevator” speech for senior leaders to use for chance encounters with members of Congress.

<sup>10</sup> This anecdote is based on numerous conversations with the action officers and senior officials responsible for Global Train and Equip.

## Summary

Air Force components participate in a range of DoD assessment processes through their COCOMs. The utility of these processes is largely determined by the amount of time and effort that Air Force components put into them. This chapter discussed two ways to identify issues such as capability gaps: the combatant commander's campaign plan assessment and IPLs. It also discussed two ways to resolve issues through the program and budget review and legislative proposal process. These processes were not developed with country plans in mind, so they have limited utility when addressing questions such as, "Did we achieve the objectives we set out to achieve?" The combatant commander's campaign plan assessment attempts to do this at the joint level, but even that process is still very nascent. The Air Force Campaign Support Plan will eventually provide guidance on assessment, which should be more useful to Air Force component country planners.



## Conclusion

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The main purpose of this report is to help Air Force component planners understand country planning as it is currently conducted in DoD. However, in developing this report the study team also identified some areas for improvement in DoD and Air Force country planning, particularly, the lack of comprehensive guidance on country planning and the lack of any standard process for resourcing DoD and Air Force programs. This report helps fill some of these gaps by describing the country planning cycle and the key elements of a country plan and by outlining the resourcing process. However, this report is merely a stopgap and not a substitute for real guidance and reforms to the resourcing process for DoD and Air Force programs.

### **Recommendation 1: Develop Comprehensive Guidance on Country Planning**

Neither DoD nor the Air Force currently provides comprehensive guidance on country planning.<sup>1</sup> The guidance that does exist addresses only certain parts of the country planning process. For instance, the revised Joint Publication 5-0, *Joint Operational Planning*, discusses campaign plans but not country plans.<sup>2</sup> It also describes the Global Force Management process but not how to secure funding through DoD programs or the security assistance process.

This report fills a critical gap by providing an overview of the current country planning process, but DoD and Air Force guidance is still needed. For example, while this report explains the key elements of a country plan, DoD or Air Force guidance could provide a standard format and lexicon for country planners to use. Right now, each of the COCOMs approaches country planning a little bit differently. This makes it particularly difficult for the Air Force and Air Force components to develop a standard approach.

### **Recommendation 2: Synchronize the Resourcing Process for DoD- and Air Force–Managed Programs**

The resourcing process for DoD- and Air Force–managed programs is unnecessarily complicated and frustrating for planners.<sup>3</sup> The process varies from program to program, making it

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<sup>1</sup> Since the writing of this report, the OSD Security Cooperation Reform Task Force has begun work on a country planning guide.

<sup>2</sup> U.S. Joint Chiefs of Staff, *Joint Operational Planning*, Washington, D.C., Joint Publication 5-0, August 11, 2011.

<sup>3</sup> This does not refer to the Air Force POM process.

difficult for COCOMs and Air Force components to request resources to support the execution of their campaign and country plans. We recommend synchronizing the process for DoD- and Air Force-managed programs by standardizing resource requests and aligning the timeline with the DoD Planning, Programming, Budgeting, and Execution System, including the development of the services' POMs.<sup>4</sup>

The Air Force does not need to wait for DoD before standardizing the resourcing process within the Air Force. For example, the annual Building Partnerships Conference could be turned into a semiannual event, with the first conference focused on developing budgets for Air Force-managed programs and the second focused on allocating them. The first conference would be in the spring before the Air Force program managers developed their budgets, and the Air Force components would be asked to provide their resource requests for each of the Air Force-managed programs. The outcome of the conference would be a budget request recommendation for each Air Force-managed program that is fully justified by Air Force component resource requests. The second conference would be in the fall after the Air Force program managers have received their budgets for the year. The focus of this conference would be on allocating resources, and Air Force components would be asked to come to the conference with prioritized lists of resource requests for each programs. The outcome of the conference would be a globally prioritized list of resource requests for each Air Force-managed program.

## Summary

This report provided an overview of the country planning process and was primarily geared toward Air Force component planners. It is not a substitute for comprehensive DoD and Air Force guidance on country planning, but it will help Air Force component planners develop effective country plans in the interim. The country planning cycle and key elements of a country plan described in this report can serve as a basis for future guidance. In addition, this report highlights the need for reform to the resourcing process for DoD- and Air Force-managed programs.

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<sup>4</sup> Appendix B includes information on key dates in Air Force, DoD, and U.S. government planning, resourcing, and assessment processes.

## Discussions with Air Force Component and Combatant Command Planners

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This appendix lists some of the organizations whose input we considered in developing this report. The discussions were held primarily at the O-6 and O-5 levels. The list is not exhaustive; it does not include a number of shorter one-on-one conversations and lengthy email exchanges, which were very valuable to developing the concept.

In addition to the meetings and phone calls listed in Table A.1, the RAND study team also attended the following conferences:

- European Command Security Cooperation Strategy Conference, March 1–4, 2010
- Pacific Command Joint Planning Group for Indonesia, April 6–9, 2010
- Office of the Secretary of Defense/Joint Staff Security Cooperation Conference, June 2–4, 2010
- Air Force Building Partnerships Conference, May 25–28, 2010.

These conferences were very valuable to the development of this report, particularly the last day of the Air Force Building Partnerships Conference. The RAND study team presented a briefing on the proposed country planning process and incorporated feedback from participants into the final version as presented in this report. Participants included representatives from SAF/IA, AF/A5X, and each of the regional Air Force components.

**Table A.1**  
**RAND Study Team Discussions with Air Force and DoD Planners**

Organization	Sub-Organization	Type of Discussion	Number of non-RAND Participants	Date
U.S. Africa Command	Strategy Plans and Programs Directorate	Multiple meetings	4	March 3, 2010
U.S. Air Forces in Africa/17th Air Force	AF/A5X	Phone call	3	February 4, 2010
	110th Air Operations Group	Meeting	1	March 4, 2010
U.S. Central Command	J5 (Strategic Plans and Policy), Plans and Security Cooperation Divisions	Multiple meetings	>15	June 23, 2010
U.S. Air Forces Central/9th Air Force	A5	Phone call	1	February 5, 2010
U.S. European Command	Strategy Division	Meeting	1	March 2, 2010
U.S. Air Forces in Europe	AF/A5I (International Affairs)	Phone call	1	February 9, 2010
	AF/A5I	Meeting	2	March 3, 2010
	AF/A5I	Meeting	3	May 27, 2010
U.S. Pacific Command	J45 (Security Assistance and Cooperative Program Division) and J5 (Strategic Plans and Policy)	Multiple meetings	>5	May 12, 2010
Pacific Air Forces/13th Air Force	A5 (Plans and Requirements)	Phone call	6	February 5, 2010
U.S. Southern Command	J5 (Strategic Plans and Policy) and J7 (Joint Force Development)	Multiple meetings	4	June 25, 2010
U.S. Air Forces Southern/12th Air Force	AF/A3/5 (Operations, Plans, and Requirements)	Phone call	6	February 9, 2010
U.S. Air Force Special Operations Command	AF/A8X (Strategic Planning)	Meeting	1	May 27, 2010

## Summary of Key Dates

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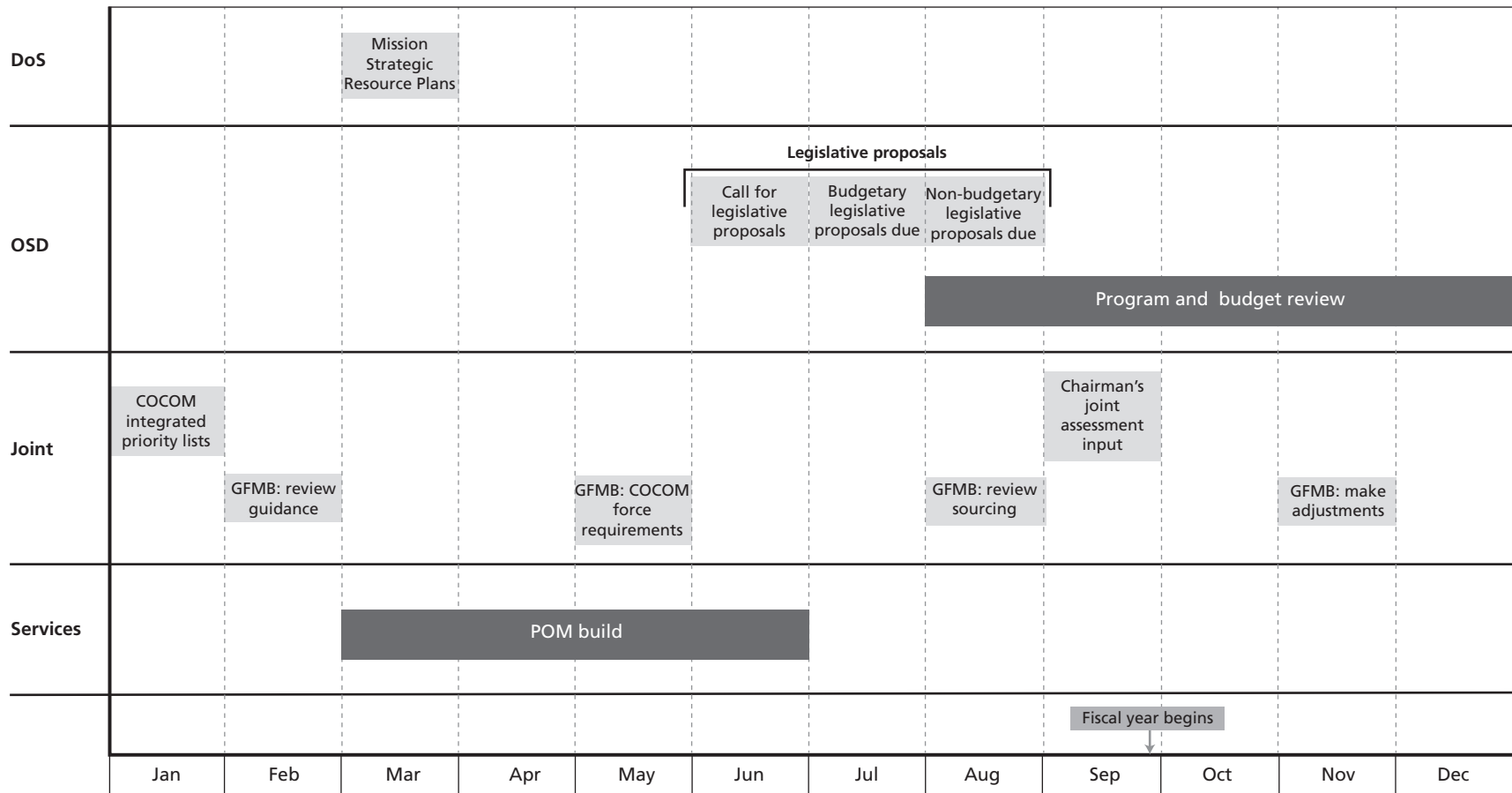
This appendix provides a summary of key dates that Air Force planners should be aware of during the resourcing and assessment processes. Of particular importance are three resourcing dates in the spring. In March, the U.S. Embassy Mission Strategic Resource Plans are submitted to DoS. This starts the security and foreign assistance resourcing processes. It is important that Air Force components work with the relevant U.S. Embassy Security Assistance Organizations to ensure that their resource requests are included in the development of the Mission Strategic Resource Plan. Also in March, the Air Force begins developing its POM, which is due in July. This means that the Air Force component should also be developing its budget and should ensure that it includes any relevant resource requests (e.g., training and travel funds). In May, the GFMB meets to discuss combatant commander rotational force requirements for the next three years. Again, it is important that Air Force component requests for rotational forces be included in the combatant commander's request prior to the May meeting.

The key dates for the assessment process are in September and January. The combatant commander campaign plan assessments are submitted to the Chairman of the Joint Chiefs of Staff in September as part of the combatant commander's input to the Chairman's Joint Assessment. IPLs are also part of the Chairman's Joint Assessment but are not due until January. The campaign plan assessments and IPLs are great ways to highlight issues and propose changes to strategy and policy. Assessment recommendations related to authorities, programs, and budgets are worked through the legislative proposals, POMs, and the program and budget review. As mentioned earlier, the POM is developed from March to July. The program and budget review begins after the POMs have been completed and is conducted from August to November. Air Force components can influence programs and budgets during this period in two ways. First, they can influence the Air Force POM by working with the Building Partnerships portfolio manager in SAF/IA during the Air Force POM build. Second, they can develop issue papers on any part of the DoD budget for consideration during the program and budget review and submit them through their COCOM (or the Air Force). The legislative proposal process can be used for changes to DoD authorities. It starts in June when the Office of Legislative Counsel issues a memo calling for legislative proposals. Proposals with a budgetary impact are due in July, and those without a budgetary impact are due in August. Air Force components can submit legislative proposals through their COCOM or the Air Force.

There are other key dates, especially for requesting resources from individual Air Force and DoD programs. The processes for these programs vary, but they tend to follow the key dates included in Figure B.1. For example, Air Force and DoD programs will generally seek input on resource requests in the spring, because that is when they are developing their budgets. They may request additional information in the fall, because that is when the fiscal year starts and when they receive their budgets.



**Figure B.1**  
**Timeline for Key Process Steps**



RAND TR1186-B.1

## Collaboration with Other U.S. Federal Departments and Agencies

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Most security cooperation programs are limited in terms of scope and funding. The reality is that an Air Force component planner, for example, has only a relatively small number of Air Force–managed programs on which to draw. Some programs are region-specific, or even country-specific, further limiting the planner’s options.

Many programs lie outside the Air Force, either in one of the other military departments or outside DoD altogether. Still, these programs could be targeted to purposes consistent with an objective the planner may be tasked to support. Moreover, program managers from other services, departments, or agencies might already be working with partners in the planner’s area of interest through such programs. The challenge, then, is for the planner to become aware of these programs, deconflict his or her planned activities with them, and even seek to coordinate with those program managers to ensure that the efforts are complementary.

None of these actions, however, directly resolves the initial problem: how to achieve an objective through security cooperation. The answer, though, is simple: collaboration.

This appendix examines collaboration as a tool for the country planner. It begins with a brief definition of collaboration and considers the associated challenges and benefits. Then, it explores some illustrative examples of other agencies’ programs that could present opportunities for collaboration. It concludes with suggestions for country planners as they begin the process of collaboration and leverage these opportunities.

### What Is Collaboration?

Defining *collaboration* is important. One useful definition describes it as “a process in which autonomous actors interact through formal and informal negotiation, jointly creating rules and structures governing their relationships and ways for the actors to decide on the issues that brought them together; it is a process involving shared norms and mutually beneficial interactions.”<sup>1</sup> Williams suggests that it is often the complex, or “wicked” problem that demands a collaborative solution.<sup>2</sup> Problems that span organizational boundaries and create fragmented power relationships among organizations are examples. In the realm of security cooperation, the U.S. government is riddled with such problems. One example is the scatter-

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<sup>1</sup> See Ann Marie Thomson and James L. Perry, “Collaboration Processes: Inside the Black Box,” *Public Administration Review*, Vol. 66, Supplement 1, December 2006; Russ Linden, “Collaborative Intelligence,” *Public Manager*, Vol. 39, No. 1, Spring 2010, p. 23.

<sup>2</sup> Paul Williams, “The Competent Boundary Spanner,” *Public Administration*, Vol. 80, No. 1, December 2002, p. 104.

ing of programs in five separate departments designed to combat the proliferation of weapons of mass destruction by assisting partner nations in securing their borders and by creating the capacity to interdict such weapons.<sup>3</sup> The requirement for innovative solutions to problems that are inherent in such situations is clear and has been commented on in numerous U.S. Government Accountability Office reports.<sup>4</sup>

Unlike lesser forms of cooperation, such as deconfliction or coordination, collaboration suggests multiple agencies working in partnership to achieve a common aim.

*Deconfliction*, a term long used in aviation to refer to actions taken to avoid an aircraft collision, has become widely used in the military lexicon to refer to any action taken to avoid conflict. The implication of such conflict avoidance is that there is, at a minimum, an awareness of what other organizations are doing. This is not collaboration, however; it is simply getting out of each other's way.

Coordination may be thought of as a situation in which multiple organizations follow a set of common rules; rules of the road are a common example. A rule for driving on the right side of the road is a way of coordinating the actions of many actors; when one driver does not follow the coordinating rule (by driving on the left side), a collision is likely to happen. Coordination may be a step beyond simple deconfliction, but at its center it is a "live-and-let-live" approach.

Collaboration, then, is unique in that it requires cooperating agencies to devise joint objectives or, at the very least, pool their resources in pursuit of a set of complementary objectives. In doing so, managers create structures that can, if given the right emphasis and resources, take on a virtual reality for employees participating in them. Employees from across agencies can begin to think of each other as colleagues, developing roles and responsibilities among themselves, as well as procedures and routine communication channels.<sup>5</sup> Collaboration, then, is more than simply two or more organizations cooperating or working together. Nonetheless, the anarchy that hangs over every collaborative effort is inescapable.<sup>6</sup>

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<sup>3</sup> These programs are the DoS Export Control and Related Border Security Program, the International Counterproliferation Program run by DoD and the U.S. Department of Justice, the Department of Energy's Second Line of Defense Program, and the Department of Homeland Security's Container Security Initiative, all of which provide training and equipment for border security and WMD interdiction.

<sup>4</sup> See, for example, U.S. Government Accountability Office, *Nonproliferation Programs Need Better Integration*, Washington, D.C., GAO-05-157, January 28, 2005, and Gary L. Jones, Director, Natural Resources and Environment, U.S. Government Accountability Office, *Coordination of U.S. Programs Designed to Reduce the Threat Posed by Weapons of Mass Destruction*, statement before the Subcommittee on International Security, Proliferation and Federal Services, Committee on Governmental Affairs, U.S. Senate, GAO-02-180T, November 14, 2001.

<sup>5</sup> Bardach describes this phenomenon as "interorganizational collaboration capacity." See Eugene Bardach, "Developmental Dynamics: Interagency Collaboration as an Emergent Phenomenon," *Journal of Public Administration Research and Theory*, Vol. 11, No. 2, April 2001, pp. 151–152.

<sup>6</sup> McGuire and Silvia refer to this as the fragile nature of collaborative efforts that rely on all participants to remain committed without necessarily being obligated to do so. See Michael McGuire and Chris Silvia, "The Effect of Problem Severity, Managerial and Organizational Capacity, and Agency Structure on Intergovernmental Collaboration: Evidence from Local Emergency Management," *Public Administration Review*, Vol. 70, No. 2, March–April 2010, p. 281.

## Challenges to Collaboration

Organizational inertia, identities, and processes are just a few of the challenges to collaboration. Organizations are typically staffed to accomplish the work at hand, not to explore in depth what other organizations are doing. Busy executives and harried action officers typically have little time to wonder whether they are duplicating another agency's activities, or even whether another agency has similar objectives in a particular country or region. It is, however, just this type of commitment that can make collaboration successful. Without a strong commitment from program managers or office directors, collaboration will not succeed.<sup>7</sup> Without the ability to look outside the organization, the "one-organization" focus simply propels that organization along in its original direction. In other words, organizations that remain inward-looking become victims of inertia and are unable to benefit from the potential gains of collaboration. Agencies must instead look outside for collaborative opportunities, particularly in cases in which programs run the risk of duplicating each other's efforts—or worse, working at odds with them. Even in cases in which collaboration seems like the obvious approach, opportunities can be missed if effective identification processes are not in place.<sup>8</sup>

Organizations' unique identities can also make their similarities less apparent; that two organizations have parallel—or at least complementary—aims may not be obvious to those working inside each of them. Such social constructions make it difficult to effectively address problems that, when viewed from a one-organization perspective, may seem intractable.<sup>9</sup> Finally, the processes used within organizations may not be immediately compatible with the ways in which another organization performs a similar activity. Such differences are not trifling; rules and procedures can make it very difficult to even share information across organizational boundaries.

Other major challenges to collaboration are the organizational differences that make it difficult to identify appropriate offices with which to collaborate, a lack of awareness or appreciation for the benefits or methods of collaboration, and administrative impediments that thwart collaborative attempts. All of these assume that the manager or office director is inclined to engage in collaboration in the first place, and this is not a given. More to the point, the environment in which most Air Force organizations operate is one of shrinking budgets, reduced manpower, and competing demands for the resources on hand. Collaboration with other organizations requires a deliberate and determined effort to move "beyond the inbox." This is not intended to be a slight in any way; many office directors face a relentless torrent

<sup>7</sup> See "GAO: Interagency Collaboration Needed for Project SAFECOM," *Telecommunications Reports*, Vol. 70, No. 9, 2004, pp. 21–22.

<sup>8</sup> See, for example, John H. Pendleton, Director, Defense Capabilities and Management, U.S. Government Accountability Office, *National Security: Key Challenges and Solutions to Strengthen Interagency Collaboration*, statement before the Subcommittee on Oversight and Investigations, Committee on Armed Services, U.S. House of Representatives, Washington, D.C.: U.S. Government Accountability Office GAO-10-822T, June 9, 2010. The statement before the House Subcommittee on Oversight and Investigation describes how several agencies that support education programs abroad (including the U.S. Departments of Agriculture, Defense, Labor, and State) have failed to collaborate:

[GAO] found that agencies did not always coordinate in the planning or delivery of international basic education-related activities. From 2001 to 2006, there was no government-wide mechanism to facilitate interagency collaboration and, as a result, [GAO] identified instances where agencies missed opportunities to collaborate and maximize U.S. resources. (U.S. Government Accountability Office, *Foreign Assistance: Enhanced Coordination and Better Methods to Assess the Results of U.S. International Basic Education Efforts Are Needed*, Washington, D.C., GAO-07-523, March 2007, p. 4)

<sup>9</sup> Williams, 2002, p. 104.

of email, meetings, and tasks and quite simply believe that diverting effort from day-to-day operations will place them at a disadvantage.

## Benefits of Collaboration

Every agency or organization holds views regarding the aims it is tasked to support and the ways in which it goes about pursuing those aims. The aims that a given organization is tasked to support are usually clear and are rarely questioned. Often, its aims are similar to, or at least complement, those of other organizations. One illustration of the success of collaboration among government agencies with similar aims can be found in a 2005 effort to develop health care training courseware across five U.S. government agencies: the Veterans Health Administration, Air Force, Army, Navy, and Coast Guard.<sup>10</sup> The participants discovered that “truly, the whole is greater than the sum of its parts.”<sup>11</sup>

The Federal Aviation Administration (FAA) is tasked with promoting aviation safety, both in the United States and globally where there is a U.S.-related aviation presence.<sup>12</sup> The Air Force’s interest in this aim is also clear; for the safety of its own aircrews and airframes, safe, efficient airspace globally is important. The Air Force routinely coordinates with the FAA on operational and policy issues, but a deeper collaborative relationship might benefit both organizations. That is not to judge its ideal scope or how such coordination and deconfliction should take place, but there may be opportunities for these two organizations to collaborate beyond merely avoiding conflicting activities. By understanding the FAA’s international assistance objectives and sharing information regarding its own priorities and objectives, the Air Force could develop joint objectives and priorities that pool resources in a *de facto* manner.

Despite these challenges, the benefits of collaboration make its pursuit worthwhile. When faced with tough choices about where to spend scarce security cooperation resources, collaboration with other organizations has the potential to increase the benefits to all concerned, including the partner nations receiving assistance. Collaboration is a resource multiplier.

## Where Are the Opportunities for the Air Force to Collaborate?

In its Global Partnership Strategy, the Air Force describes four strategic end states (also called objectives) that it pursues through its security cooperation efforts.<sup>13</sup> These end states constitute the high-level objectives that guide the institutional Air Force as it develops security cooperation plans, and, as such, the plan is also intended to guide Air Force component staffs as they develop country plans to support their respective combatant commanders. The four end states are as follows:

<sup>10</sup> See David G. Twitchell, Rebecca Bodrero, Marc Good, and Kathryn Burk, “Overcoming Challenges to Successful Interagency Collaboration,” *Performance Improvement*, Vol. 46, No. 3.

<sup>11</sup> Twitchell et al., 2007, p. 14.

<sup>12</sup> According the FAA’s website, “Our continuing mission is to provide the safest, most efficient aerospace system in the world” (Federal Aviation Administration, “Mission,” web page, last updated April 23, 2010).

<sup>13</sup> See U.S. Department of the Air Force, 2008.

1. Establish, sustain, and expand global partnerships that are mutually beneficial.
2. Provide global partners with the capability and capacity to provide for their own national security.
3. Establish the capacity to train, advise, and assist foreign air forces while conducting partnership activities with U.S. Air Force personnel who have the appropriate language and cultural skills.<sup>14</sup>
4. Develop and enhance partnership capabilities to ensure interoperability, integration, and interdependence, as appropriate.

In short, the Air Force seeks to work with partner air forces to build partnerships and to provide capabilities to meet internal partner needs and to facilitate possible combined activities or coalition operations. In this section, we examine how these end states, or objectives, might be related to the international objectives of other organizations. Specifically, we examine four organizations that have international cooperation aims that are similar, or complementary, to those of the Air Force. Each of these organizations maintains an active program of international cooperation; documents its objectives, programs, and activities in readily accessible publications; and operates an office or other oversight body that is responsible for its program. The four agencies are as follows:

- U.S. Coast Guard
- FAA
- National Aeronautics and Space Administration (NASA)
- U.S. Agency for International Development (USAID).<sup>15</sup>

The following sections describe each of these agencies' objectives and strategic guidance and provide a brief overview of the activities being conducted.

### **U.S. Coast Guard**

The Coast Guard publishes the *U.S. Coast Guard International Strategic Guidance*, which provides strategic objectives and implementation instructions, including "tools for implementation," funding sources, roles and responsibilities, and measures of effectiveness. The "strategic premise" of the document is that the Coast Guard will "establish, improve, sustain, and leverage international cooperation and partnerships to create, promote, and ensure a transparent, safe, secure and environmentally sound maritime domain in support of U.S. Coast Guard missions and national interests."<sup>16</sup>

Like the Air Force Global Partnership Strategy's four strategic end states, the Coast Guard's guidance posits four strategic objectives for its international activities with partner nations. These strategic objectives are similar to the Air Force's strategic end states in some important ways. The first objective, "Build/leverage force-multiplying international partnerships," is virtually identical in intent to the Air Force's strategic end state "Establish, sustain, and expand global partnerships that are mutually beneficial." Just as the Air Force Global

<sup>14</sup> Although this end state is largely inward-focused (i.e., declaring that the Air Force will prepare its personnel is a force development goal, as opposed to a security cooperation goal), it does use these personnel as key resources.

<sup>15</sup> USAID is an agency of the U.S. Department of State and maintains a joint strategy with that department.

<sup>16</sup> U.S. Coast Guard, *U.S. Coast Guard International Strategic Guidance*, Washington, D.C., August 2006, p. 1.



Partnership Strategy suggests that such relationships will enhance the service's "ability to meet the end states defined in COCOM Campaign Plans and the GEF," the Coast Guard's International Strategic Guidance describes the importance of partnerships as strengthening "the safety and security of the maritime domain."

The second Coast Guard strategic objective, "Maximize global maritime awareness," is intended to support Coast Guard efforts to develop an international web of nations that can help detect and defeat threats to U.S. safety and security. This objective pivots on the idea of international partners working with the United States to achieve common aims with regard to U.S. interests. It is quite similar to the Air Force's fourth end state, "Develop and enhance partnership capabilities to ensure interoperability, integration, and interdependence," which also envisions the United States working with and through partner nations to achieve common aims. Similarly, the third strategic objective, "Shape international regulations and standards," is directed at assisting partner nations with their own maritime security in much the same way as the Air Force Global Partnership Strategy's second end state, "Provide global partners with the capability and capacity to provide for their own national security," which is aimed at assisting partner nations in developing air, space, and cyber capabilities.

Finally, the last strategic objective, "Support National Security, Homeland Security, and Foreign Policy," is of prime interest to Air Force country planners. While the Air Force's strategic end states are similar in wording to the Coast Guard's first three strategic objectives, the domains are quite different. However, this fourth strategic objective opens the door for cooperation and even collaboration between the Coast Guard and the military services in pursuing international aims. In particular, the International Strategic Guidance directs the Coast Guard to support "U.S. interagency international goals and initiatives where Coast Guard core competencies can be effectively leveraged."<sup>17</sup>

The Coast Guard's guidance goes into greater detail regarding proposed international activities, providing brief context, listing goals for the conduct of activities in various regions around the world, and, in a classified appendix, describing how the Coast Guard prioritizes the countries with which it will conduct these activities. Many of these activities are unique to the Coast Guard and relate to maritime safety standards and the protection of life and property. However, considerable emphasis is placed on working with the U.S. armed forces and within the various COCOM areas of responsibility, and there is significant overlap between the Coast Guard's regional aims and Air Force competencies, suggesting that collaboration between the two organizations could indeed yield substantial gains.

In U.S. Southern Command's area of responsibility, for example, the Coast Guard aims to promote "the competencies, capabilities and professionalism of Search and Rescue (SAR) organizations, improved vessel standards, bilateral and regional cooperation, and adherence to international laws, standards and conventions."<sup>18</sup> In the U.S. Pacific Command area of responsibility, the emphasis is on interdiction and response to maritime threats, such as piracy and terrorism. One could easily envision the Air Force working closely with the Coast Guard in both of these areas, providing, for example, SAR training or intelligence, surveillance, and reconnaissance (ISR) assistance to address maritime threats. Moreover, in the U.S. European Command area of responsibility, the Coast Guard aims to "sustain and pursue additional

<sup>17</sup> U.S. Coast Guard, 2006, p. 2.

<sup>18</sup> U.S. Coast Guard, 2006, p. 13.

European intelligence, air and surface asset support of law enforcement and maritime security operations,” a goal that potentially touches on Air Force capabilities. Finally, in the U.S. Central Command area of responsibility, the Coast Guard focuses, in part, on strengthening “non-proliferation in the Caspian Sea, with emphasis on Turkmenistan, Kazakhstan, and Russia,” an area of common concern across DoD. The Coast Guard truly opens the door to the idea of collaboration with partners in its International Strategic Guidance, stating that it will support COCOM, DoS, and “other U.S. government security cooperation and foreign assistance programs where Coast Guard core competencies can be leveraged effectively.”<sup>19</sup>

### **National Aeronautics and Space Administration**

NASA, unlike the military services or the Coast Guard, focuses on civilian technology and exploration, as opposed to national security. There is, however, considerable overlap between civilian space and military space. There has been strong cooperation in the area of space launch activity, for example, between NASA and the U.S. Air Force Space Command. Launch range facilities, boost vehicles, and many fundamental processes and technologies are common to both, resulting in a robust operational relationship between the two organizations. NASA’s interest in international cooperation is also strong and extends beyond the agency’s high-visibility emphasis on the International Space Station, offering potential opportunities for collaboration with the Air Force.

The detailed *Global Exploration Strategy: The Framework for Coordination*, released in May 2007, describes the partnerships NASA has developed with 14 partner nations and the major scientific and technical thrust of those relationships. To form these partnerships, NASA engaged in bilateral and multilateral discussions to explain its concept for the Global Exploration Strategy and to discuss potential partnership opportunities.<sup>20</sup> The Global Exploration Strategy, according to NASA, is “an action plan to share strategies and efforts of individual nations so that all can achieve their exploration goals more effectively and safely.”<sup>21</sup> One of the primary purposes of the strategy was to provide a voluntary, nonbinding mechanism under which the various space agencies could share plans.

NASA’s activities with key partners are outlined in the 2008 *Global Reach: A View of NASA’s International Cooperation*, which details each of NASA’s ongoing and planned international missions by country. For example, NASA and the Russian space agency Roscosmos routinely fly sensors and science experiments on each other’s spacecraft, an obvious continuation of the agencies’ long-standing cooperation on a variety of missions. Likewise, NASA supports similar Indian and South Korean efforts. NASA’s international efforts also extend to collaboration on various Earth-based experiments and in the provision of ground station support to such initiatives as Japan’s Kaguya lunar mission.<sup>22</sup>

In addition to actual space missions, NASA engages in longer-term discussions on technical and operational issues. For example, NASA and the European Space Agency are currently

<sup>19</sup> U.S. Coast Guard, 2006.

<sup>20</sup> These countries included Australia, Canada, China, the European Space Agency, France, Germany, Great Britain, India, Italy, Japan, Russia, Korea, and Ukraine.

<sup>21</sup> National Aeronautics and Space Administration, *The Global Exploration Strategy: The Framework for Coordination*, May 2007, p. 2.

<sup>22</sup> See National Aeronautics and Space Administration, *Global Reach: A View of NASA’s International Cooperation*, Washington, D.C., 2008.



engaged in a comparison of their respective capabilities as a way to identify opportunities for collaborative space exploration. Specific studies are ongoing with the United Kingdom Space Agency and the German Aerospace Center.

### **Federal Aviation Administration International Programs**

Although the agency is most often thought of as having a domestic focus, one of the FAA's four major goals is "international leadership."<sup>23</sup> To this end, the FAA has established two strategic objectives, both of which stem from the fact that U.S. commercial and military aviation is global in nature, and, when operating outside the United States, U.S. aviators should expect the same standards and degree of flight safety. The first objective, "Promote improved safety and regulatory oversight in cooperation with bilateral, regional, and multilateral aviation partners," takes a cooperative approach, aiming to work with traditional partners to spread standards globally.<sup>24</sup> In other words, the FAA seeks to work with and through partners to achieve global standards.

The second objective, "Promote seamless operations around the globe in cooperation with bilateral, regional, and multilateral aviation partners," addresses the need for aviation safety from an interoperability standpoint.<sup>25</sup> Interoperability implies the sharing of processes and technology; the Air Force also pursues this aim with partner air forces.

The FAA, much in the same way as the Air Force, takes a regional approach to working with partners. Through its regional International Strategies documents, the FAA establishes priorities by region based on eight initiatives designed to further the administration's strategic objectives.<sup>26</sup> The initiatives are specific, including both a proposed action and a desired end state. As is the case with the Coast Guard's strategic objectives, many of the FAA's strategic initiatives are quite similar to the Air Force's strategic end states. For example, the second initiative, "Create and support partnerships to leverage more opportunities," is a direct parallel of the Air Force's first strategic end state, "Establish, sustain, and expand global partnerships that are mutually beneficial." The first, third, and fourth initiatives, which address capacity-building, are consistent with the Air Force's second strategic end state, "Provide global partners with the capability and capacity to provide for their own national security." Finally, the FAA's fifth, seventh, and eighth strategic initiatives address the issue of interoperability, like the Air Force's fourth strategic end state, "Develop and enhance partnership capabilities to ensure interoperability, integration, and interdependence."

Just as the Coast Guard has expressed its desire to work closely with DoD to achieve its objectives internationally, so has the FAA, particularly as described in its fourth strategic initiative, "Promote civil/military cooperation to ensure correct use of airspace." The points of congruence between the FAA and Air Force's international strategies are many. The cur-

<sup>23</sup> See Federal Aviation Administration, *2009–2013 FAA Flight Plan*, Washington, D.C., 2009a.

<sup>24</sup> FAA, 2009a, p. 28.

<sup>25</sup> FAA, 2009a, p. 29.

<sup>26</sup> The initiatives are (1) promote harmonization and compliance with aviation policies and procedures, (2) create and support partnerships to leverage more opportunities, (3) promote U.S. best practices in safety to enhance practices worldwide, (4) promote civil/military cooperation to ensure correct use of airspace, (5) improve global interoperability and advance future technologies and procedures, (6) increase awareness to minimize aviation's impact on the environment, (7) Share FAA best practices to mentor and enhance expertise of aviation leaders, and (8) promote U.S. commercial space transportation regulations (Federal Aviation Administration, *FAA International Strategies: 2010–2014*, Washington, D.C., 2009b).

rent collaboration between the two organizations is largely focused on operational issues, but the benefits of leveraging each other's strengths in the international environment are real and should be pursued.

### **U.S. Agency for International Development**

DoS and DoD have a long-established pattern of collaboration, codified in legislation and formalized in the process used for foreign military sales and other security assistance programs. More recently, DoS, USAID, and DoD have made efforts to increase their collaboration in other security cooperation areas, often offering alternatives to military force. In particular, the 2009 document *Security Sector Reform*, commonly referred to as the "Three-D" document (for defense, diplomacy, and development), describes how the three organizations can work together in a collaborative manner.<sup>27</sup> That this type of progress will flourish is not a given; managers in each organization must still commit to it, assigning resources to its execution and actively identifying further opportunities for collaboration. One way for Air Force security cooperation managers to do this is by looking to the DoS and USAID Strategic Plan.<sup>28</sup>

The joint DoS and USAID Strategic Plan describes seven strategic objectives, two of which are directly relevant to Air Force security cooperation capabilities. The first, "achieving peace and security," has several components that not only are relevant to DoD and the Air Force but also demonstrate the interdependence between the departments. Achieving peace and security, according to DoS and USAID, requires efforts along several fronts, including counterterrorism; weapons of mass destruction and destabilizing conventional weapons; security cooperation and security-sector reform; conflict prevention, mitigation, and response; transnational crime; and homeland security.

Importantly, the strategic plan specifically calls on DoS and USAID to work with DoD on DoS- or USAID-led programs that contribute to achieving this goal and to play a strong supporting role on DoD-led programs in such areas as stabilization and reconstruction, as well as programs under the banner of cooperative threat reduction. Examples of programs on which the organizations might work together include the DoS-led Antiterrorism Assistance Program and the International Narcotics Control and Law Enforcement Program. Moreover, the plan acknowledges the important role that DoD plays in security assistance and in furthering diplomatic efforts through military-to-military contacts, assistance, and training to strengthen military and alliance relationships.

DoS and USAID's fifth strategic goal, "providing humanitarian assistance," is also directly relevant to DoD and the Air Force. For example, the Humanitarian Assistance Space Available Transportation Program permits DoD to transport to any country, without charge, humanitarian assistance supplies furnished by a nongovernmental source, an effort that directly involves Air Force assets. To carry out activities in pursuit of this goal, DoD, DoS, and USAID routinely work together on a variety of humanitarian assistance and disaster relief programs. These efforts include the Humanitarian and Civic Assistance Program, for which DoD provides transportation of humanitarian relief, and such supporting projects as the refurbishment of medical facilities, construction of school buildings, digging of wells, improvement of sanitary facilities, and training of host-country personnel for emergency response planning. Other

<sup>27</sup> See U.S. Agency for International Development, U.S. Department of Defense, and U.S. Department of State, *Security Sector Reform*, Washington, D.C., February 2009.

<sup>28</sup> See U.S. Department of State and U.S. Agency for International Development, 2007.

programs in this vein include Humanitarian Daily Rations, which provides daily rations after manmade or natural disasters, and the Defense HIV/AIDS Prevention Program, which is designed to protect foreign nations' armed forces from HIV/AIDS.

Finally, Air Force country planners should become familiar with the content of the relevant country Mission Strategic Resource Plan developed by the U.S. embassy. In addition to the regional guidance provided in the joint strategic plan, the Mission Strategic Resource Plans describe specific measures and actions that are planned for each country. As such, they provide a ready resource for identifying possible opportunities to collaborate.

## **How Can Program Managers Leverage Collaboration Opportunities?**

Knowing the opportunities for collaboration is essential to leveraging them. But knowing that opportunities exist is only half the battle; knowing whom to reach out to is just as important. In this section, we discuss how Air Force country planners and program managers can take this next step.

### **Engaging the Planning Community**

It is essential for Air Force country planners to know their planning community and counterparts, both within the Air Force and in the broader interagency arena, and to ensure that they are sharing good ideas.<sup>29</sup> The most successful country planners across the U.S. government tend to be those who have built and are able to sustain a network of capable colleagues and contacts. Participating in security cooperation conferences and workshops hosted by the Air Force, other services, OSD, the Joint Staff, and other departments or agencies is an excellent way to build and sustain a collaborative security cooperation network. For example, the Air Force hosts the annual Building Partnerships Conference, which includes all planners from the community, while OSD and the Joint Staff host an annual security cooperation conference that brings together the joint community. The COCOMs typically host annual conferences on theater security cooperation and other events on security assistance.

There are even more specialized conferences on specific aspects of security cooperation, such as training and professional military education for foreign partners. U.S. Special Operations Command and U.S. Strategic Command have historically hosted annual events called Global Synchronization Conferences on counterterrorism and counterproliferation, respectively. These events tend to attract wider participation from the U.S. government civilian community and offer opportunities to build and sustain professional networks that span multiple departments and agencies. A database of these contacts, perhaps built from the rolls of conference attendees, will assist Air Force planners in finding quicker answers to difficult questions.

Within the Air Force, offices engaged in country planning exist at all levels. This is true in the other military services as well. Other agencies and departments often have counterpart offices for their "international cooperation" efforts and, in some cases, operate coordination

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<sup>29</sup> This discussion draws on unpublished fiscal year 2010 RAND Project AIR FORCE work on security cooperation planning and assessment.

boards as a way of coordinating and integrating the organization's activities.<sup>30</sup> Investigating these counterpart offices or functions is time well spent and should be a high priority for any security cooperation planner.

### **Understanding Counterpart Offices and Processes**

Knowing how to go about collaborating with a relevant organization can be challenging; every department and agency is likely to have organizational structures and processes that are unfamiliar to the outsider. Understanding what these processes are, and how they can facilitate collaboration, is a key enabler. Often, information about organizations and their processes is readily available on agency and department websites; time spent researching such information can pay off when engaging counterparts. In other words, knowing a little about an organization can signal to a counterpart program manager a sincere interest in working together. This section offers three examples of such readily available information and how it could lead to a potential collaboration.

**U.S. Coast Guard International Coordination and Leadership Advisory Group.** The International Coordination and Leadership Advisory Group coordinates international policy and engagement for the Coast Guard, ensuring Coast Guard-wide consistency on international issues and maximizing opportunities and effectiveness internationally.<sup>31</sup> Air Force participation in the group could uncover areas of mutual concern and capability, such as ISR or counterterrorism, that could be ripe for collaboration. The group meets once or twice annually, providing reports to the Coast Guard's director of international affairs, who, in turn, ensures that important international engagement issues are brought forward to senior Coast Guard leaders. Such issues can include obstacles and conflicts that impede or hinder Coast Guard effectiveness internationally, as well as opportunities to enhance cooperation and efficiency between various Coast Guard entities engaged in activities internationally.

**NASA International Space Exploration Coordination Group.** The NASA International Space Exploration Coordination Group coordinates global space exploration by providing a forum for U.S. and international participants to discuss their interests, objectives, and plans.<sup>32</sup> Because of the commonalities between Air Force and NASA space systems (e.g., boosters, ground stations, range systems), there are clearly areas of shared interest. Current collaboration on day-to-day launch and on-orbit activities creates a strong basis for further collaboration between the two organizations. Air Force participation in the International Space Exploration Coordination Group could provide program managers with important insights into collaborative opportunities. The forum ensures that all available resources, knowledge, and technological capabilities are being applied effectively and leverages each partner-nation's individual space agency investments. Additionally, the group works to identify gaps in national programs and overlaps between them, share lessons learned from national and international missions, and improve the safety of humans in space.

**FAA Office of International Aviation.** The FAA's Office of International Aviation (API) is responsible for integrating the agency's international activities across its lines of business and its

<sup>30</sup> For example, the Coast Guard operates the International Coordination and Leadership Advisory Group as a mechanism to coordinate international policy and engagement, while NASA operates the International Space Exploration Coordination Group as a way to coordinate global space exploration.

<sup>31</sup> See U.S. Coast Guard, 2006.

<sup>32</sup> NASA, 2007.

staff offices. Routine FAA and Air Force collaboration on operational issues, as mentioned earlier, is an integral part of how the two organizations do business. In an international context, issues of interest to both organizations, such as the promotion of flight safety and navigation standards or the negotiation of international agreements on safety and capacity enhancements, could present opportunities for further collaboration. As part of its efforts to promote the internal integration of international activities, API develops two key strategic guidance documents, the *FAA International Strategies* and the *International Aviation Fiscal Year Business Plan*. These two documents, as mentioned earlier, establish the FAA's objectives and describe in detail its plans for achieving them. In keeping with the organization's mission, API promotes and facilitates the adoption of FAA policies and practices worldwide. Of particular interest to the Air Force, API conducts activities to build and maintain bilateral and multilateral relationships, is responsible for identifying projects funded by donor organizations that strengthen the global aviation infrastructure, and negotiates agreements that improve aviation safety and efficiency worldwide.<sup>33</sup>

## Conclusion

In an environment of scarce resources, organizations should consider ways to leverage each other's efforts to enhance programs and efficiently achieve goals and objectives. This is a two-way street: Collaboration is about moving from joint discussions to joint planning of objectives and activities to achieve those objectives. The many areas of congruence in interests among the organizations discussed in this appendix are apparent. The Air Force has a range of opportunities to collaborate with non-DoD organizations: for example, security assistance, stabilization and reconstruction, humanitarian assistance, disaster relief, and health and medical assistance with DoS and USAID; space launch, spacecraft, and on-orbit operations and technology coordination with NASA and its international partners; a variety of military and security-related activities with the Coast Guard.

Understanding other organizations' objectives in the context of one's own objectives is a starting point. Building a network, identifying opportunities, and then leveraging them are the next steps. Collaboration cannot come at the expense of the day-to-day workload, but where it makes sense and offers a way for multiple organizations to jointly further international security cooperation interests, it is well worth the effort.

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<sup>33</sup> See FAA, 2009b.

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